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REVIEW OF THE IMPLEMENTATION OF THE CONVENTION

FINANCIAL MECHANISM

Report of the Global Environment Facility to the Conference of the Parties at its third session

Note by the secretariat

1. The Conference of the Parties (COP), at its second session, by its decision 12/CP.2, adopted and thereby brought into force a Memorandum of Understanding (MOU) between the COP and the Council of the Global Environment Facility (GEF) (FCCC/CP/1995/7/Add.1). The MOU provides, *inter alia*, that annual reports of the GEF are to be made available to the COP through the secretariat. The attached report has been submitted by the GEF secretariat in response to that provision. The MOU further provides that, in accordance with Article 11.1 of the Convention, the COP will, after each of its sessions, communicate to the GEF any policy guidance approved by the COP concerning the financial mechanism.

2. The Council of the GEF, at its meeting in May 1997, approved the annex to the MOU prepared by the fourth session of the Subsidiary Body for Implementation (SBI). Based on the recommendation by the SBI at its seventh session, the third session of the COP may wish to adopt the annex to the MOU contained in document FCCC/SBI/1996/14.

3. In accordance with the guidelines for the review of the financial mechanism, the annual report of the GEF to the COP is to be considered in the ongoing review process by the SBI which will report on the outcome to the third session of the COP (FCCC/SBI/1997/6).

4. This report further contains details on the financial support by the GEF to non-Annex I Parties for the preparation of their initial national communications. Such information is made available by the secretariat to the SBI at each of its sessions (decision 10/CP.2).

Annex

[ORIGINAL: ENGLISH/FRENCH/SPANISH]

Global Environment Facility

REPORT OF THE GEF TO THE THIRD SESSION OF THE CONFERENCE OF THE PARTIES TO THE UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE

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I. INTRODUCTION

1. The *Memorandum of Understanding between the Conference of the Parties to the United Nations Framework Convention on Climate Change and the Council of the Global Environment Facility* provides that the GEF will report to the Conference of the Parties on all GEF-financed activities carried out in implementing the Convention. In particular, paragraph 7 provides:

> In its reporting on GEF-financed activities under the financial mechanism, the GEF should include specific information on how it has applied the guidance and decisions of the COP in its work related to the Convention. This report should be of a substantive nature and incorporate the program of GEF activities in the areas covered by the Convention and an analysis of how the GEF, in its operations related to the Convention, has implemented the policies, program priorities, and eligibility criteria established by the COP. In particular, a synthesis of the different projects under implementation and a listing of the projects approved by the Council in the climate change focal area as well as a financial report with an indication of the financial resources required for those projects should be included. The Council should also report on its monitoring and evaluation activities concerning projects in the climate change focal area.

2. This report has been prepared for the third session of the Conference of the Parties to the UN Framework Convention on Climate Change. It describes the GEF's program of activities in the area covered by the Convention and provides specific information on how the GEF has applied the guidance of the Conference of the Parties. This report covers the period from May 1, 1996, to June 30, 1997.

II. HIGHLIGHTS OF GEF DECISIONS DURING THE REPORTING PERIOD

GEF Council Meetings

3. The Council met twice during the reporting period: October 8-10, 1996 and April 30- May 1, 1997. During this time, the Council made the following decisions of direct relevance to GEF climate change activities:

(a) Approval of three work programs[1] with GEF funding for climate change activities totaling US$159.23 million;

[1] In addition to the work programs that were approved at the two Council meetings, the Council approved a work program by mail in January 1997.

(b) Approval of a work program and budget for the GEF monitoring and evaluation and dissemination program;

(c) Approval of procedures to expedite the processing and financing of medium-sized projects;

(d) Approval of principles for GEF financing of targeted research;

(e) Approval of follow-up action to a STAP workshop on land degradation as it relates to the GEF focal areas;

(f) Approval of the *Annex on the Determination of Funding Necessary and Available for the Implementation of the Convention to the Memorandum of Understanding between the Conference of the Parties to the UN Framework Convention on Climate Change and the Council of the Global Environment Facility*. The Council invites the Conference of the Parties to the Climate Change Convention to approve the annex; and

(g) Reappointment of Mr. Mohamed T. El-Ashry as Chief Executive Officer and Chair of the GEF.

Replenishment of the GEF Trust Fund

4. In March 1997, a planning meeting was held to discuss the work plan for the replenishment of the GEF Trust Fund. Participants welcomed the initiation of the second GEF replenishment and noted its importance as the leading multilateral funding mechanism for global environmental protection. The meeting emphasized the importance of initiating the replenishment at a time when the accomplishments of Rio are being reviewed in a number of meetings, especially the Special Session of the General Assembly in June 1997. It stressed the importance of a successful replenishment of GEF resources for international cooperation in all four focal areas, including action concerning climate change and biological diversity through the effective implementation of the Conventions.

5. Participants agreed that the second replenishment should be discussed and agreed over the course of three meetings to be convened in May, September, and November 1997. At the May meeting, participants considered preliminary documentation concerning GEF programming of resources, burden sharing frameworks, and exchange rate considerations. Opinions varied as to the appropriateness of the GEF secretariat's resource programming estimates. A number of donors indicated that the programming range of $2.5 - $3.5 billion was on the high side.

Other donors suggested that the global environmental funding needs in the GEF's four focal areas exceeded the proposed resource programming ranges.

6. Apart from burden sharing, two factors were identified as particularly important to the successful outcome of the replenishment negotiations. One was the GEF evaluation exercise now underway, and the other a signal of clear support for the role of the GEF as the financial mechanism of the Conventions.

III. IMPLEMENTATION OF CONVENTION GUIDANCE

7. At its second meeting, the Conference of the Parties approved Decision 11/CP.2, Guidance to the Global Environment Facility which reads:

> The Conference of the Parties,
>
> *Recalling* Article 11.1 and 11.3 of the United Nations Framework Convention on Climate Change,
>
> *Recalling* also Articles 12.5, 4.3, 4.7 and 4.8 thereof,
>
> *Bearing* in mind its decision 11/CP.1 on initial guidance on policies, programme priorities and eligibility criteria to the operating entity or entities of the financial mechanism and its conclusions reached at its second session,
>
> *Noting* the report of the Global Environment Facility to the Conference of the Parties at its second session (FCCC/CP/1996/8),
>
> *Expressing* concern over the difficulties encountered by developing country Parties in receiving the necessary financial assistance from the Global Environment Facility owing to, inter alia, the application of the Global Environment Facility operational policies on eligibility criteria, disbursement, project cycle and approval, the application of its concept of incremental costs, and guidelines which impose considerable administrative and financial costs of developing country Parties,
>
> *Also expressing concern* over the difficulties encountered by Parties not included in Annex I to the convention (non-Annex I Parties) in seeking funds from the Global Environment Facility, as the interim operating entity of the financial mechanism of the convention, for the preparation of their initial national communications,

Welcoming the information by the Global Environment Facility on its efforts to ensure that funding activities are in conformity with guidance provided by the Conference of the Parties and, in particular, its expedited procedures to support enabling activities in the climate change focal area,

1. Decides to adopt the following guidance to the Global Environment Facility, as the interim operating entity of the financial mechanism of the Convention. In this regard, the Global Environment Facility should:

(a) In the initial period, implement strategies on enabling activities in accordance with decision 11/CP.1 which facilitate endogenous capacity-building, including data collection and archiving, consistent with the policy guidance, program priorities, and eligibility criteria provided to it by the Conference of the Parties;

(b) In providing the financial resources needed by developing country Parties to meet the agreed full incremental costs of implementing measures covered by Article 4.1 of the Convention in accordance with Article 4.3, take steps to facilitate this provision of financial resources, including the enhancement of transparency and the flexible and pragmatic application of its concept of incremental costs on a case-by case basis;

(c) Together with its implementing agencies, expedite the approval and the disbursement of financial resources to meet the agreed full costs incurred by the developing country Parties in complying with their obligations under Article 12.1 of the Convention, in accordance with Article 4.3, and in particular for the initial and subsequent preparation of national communications of non-Annex I Parties. In this regard, the guidelines and format adopted by the Conference of the Parties at its second session on the preparation of initial national communications by non-Annex I Parties contained in decision 10/CP.2 shall form the basis for the funding of communications from non-Annex I Parties under Article 12.1 of the Convention;

(d) Consider country-specific needs and other approaches which may be used for several countries with similar needs,

upon request, and take into account that the preparation of national communications is a continuing process;

(e) When funding the agreed full costs for the preparation of national communication from non-Annex I Parties, finance the agreed full incremental costs of projects related to other commitments contained in the Convention only upon request of the Party concerned.

2. Invites developing country Parties that are interested in receiving assistance for enabling activities, in particular for the preparation of national communications in accordance with Article 12 of the Convention, to avail themselves of the financial resources being made available from the financial mechanism for such purposes;

3. Requests the Global Environment Facility, as the interim operating entity of the financial mechanism, to report to the Conference of the parties at its third session on the implementation of this guidance, including on experience gained in the application of the concept of agreed full incremental costs;

4. Requests the Subsidiary Body for Implementation at its fifth session to undertake the review process referred to in decision 9/CP.1 and to report on the outcome to the Conference of the Parties at its third session.

Activities undertaken by the GEF in response to this guidance are described below.

General response to the guidance of the Conference of the Parties

8. The preambular paragraphs of this decision express concern over certain difficulties experienced by developing countries in receiving financial assistance from the GEF. In particular, problems are stated to arise from the application of GEF's *"operational policies on eligibility criteria, disbursement, project cycle and approval, the application of its concept of incremental costs, and guidelines which impose considerable administrative and financial costs on developing country Parties."* These concerns have been addressed to some extent in the GEF's report to the second Conference of the Parties (FCCC/CP/1996/8, June 27, 1996) and in detail in the current report. Nonetheless, the following encapsulates a general response to these concerns.

9. The application of *operational policies on eligibility criteria, disbursement, project cycle and approval*: As the GEF's second report to the Conference of the Parties noted, its

Operational Strategy was developed to guide the GEF in the preparation of country-driven initiatives in its four focal areas, which include climate change. The Strategy explicitly states that "...all GEF-funded activities in climate change will be in full conformity with the guidance provided by the Conference of the Parties to the Convention." *Eligibility in terms of access to resources* is unambiguously determined by eligibility for assistance from the financial mechanism of the Convention, as determined by the Parties, and no other criteria are applied by the GEF for Parties to the Convention. *Eligibility in terms of projects*, equally, is determined by the guidance received so far from the Conference of the Parties and the priorities it has laid down, in particular in Decision 11/CP.1. Operational policies provide for a fully transparent and participatory system of project preparation, evaluation and approval, and there is no evidence that GEF policies and procedures create any disbursement difficulties. The annual performance implementation reviews undertaken by the GEF indicate that disbursement of GEF grants is equal to or more rapid than disbursement under the normal operations of the Implementing Agencies. Furthermore, the operational procedures are flexible enough to allow changes and improvements whenever necessary. The *project cycle*, too, is an effort by the GEF to formulate easily understood, transparent procedures for accessing GEF resources through cost-effective, high-quality projects.

10. The *application of its concept of incremental costs*: this subject is reported on in depth in Annex A. It needs to be reiterated here that the Conference of the Parties has not yet provided any guidance on incremental costs, preferring to wait until more experience has been gained on the subject. Pending any guidance, the GEF has applied the concept in a "flexible, pragmatic and on a case-by-case basis" in keeping with Decision 11/CP.1.

11. *Guidelines which impose considerable administrative and financial costs on developing countries*: the development of a GEF-financed project is undertaken in full partnership with the recipient country concerned, and the criteria of country-drivenness is the touchstone on which all proposals are tested. In the case of enabling activities, agreed full costs are met by GEF funding, while for other projects, full incremental costs are met. Country endorsement of projects and responsibility for implementation ensure that the recipient country is fully supportive of, and accountable for, the implementation of the project.

12. With regard to concerns over "difficulties encountered by Parties not included in Annex I of the Convention in seeking funds from the Global Environment Facility", the detailed description below of action taken by the GEF to expedite approval procedures, and the wide extent of support that has been availed of by recipient countries bear testimony to the GEF's response.

13. During the second Conference of the Parties, the GEF did not always have the benefit of detailed information substantiating the concerns voiced in the preambular paragraphs. It welcomes efforts undertaken within the context of the review of the GEF by the Convention through its Subsidiary Body for Implementation to invite written comments from Parties on their experience with the GEF. This provides the GEF with a constructive opportunity to respond to the concerns and difficulties felt at the operational level, and to continue to effect improvements in the GEF's processes and procedures when necessary.

Expedited Procedures for enabling activities and the preparation of national communications

14. In its report to the second session of the Conference of the Parties, the GEF elaborated upon the procedures that it had approved to expedite the preparation and implementation of enabling activities projects. These include:

(a) the preparation of operational criteria for enabling activities related to national communications;

(b) an expedited approval process for enabling activity project proposals consistent with the operational criteria;

(c) approval of an initial allocation of US$ 30 million for purposes of expediting enabling activity projects; and

(d) concerted outreach efforts to inform eligible countries about the availability of financial resources and expedited procedures to facilitate the approval and implementation of enabling activities.

15. Shortly after the second session of the Conference of the Parties, in light of decision 11/CP.2, the CEO convened a senior management meeting of the Implementing Agencies and secretariat. Agreement was reached on a number of ways to streamline GEF internal working procedures and to further expedite GEF enabling activity approval and implementation. There was general agreement on the need to ensure rapid preparation, approval, and implementation of enabling activities. Approval by the Council in April 1996 of expedited procedures was recognized as an important, but still quite recent, step towards improving the process. Nevertheless, it was agreed that even more could be done to facilitate early disbursement of funds at the country level. In particular, steps were agreed to:

(a) expedite task force review of project proposals;

(b) enable approval of enabling activities to occur on a rolling basis, as and when proposals are prepared; and

(c) provide for up to 15% of the total budget activity to be available for start up work as soon as the CEO approves the project proposal.

16. The GEF secretariat and the Implementing Agencies prepared operational guidelines for the preparation of initial communications by Parties not included in Annex I to the Convention. These guidelines form the basis for the expedited financing of initial national communications, and draw on the detailed guidelines for national communications from non-Annex 1 Parties approved by the second session of the Conference of the Parties. These operational guidelines replace the earlier operational criteria for enabling activities for climate change. At its meeting in October 1996, the Council gave its support to the preparation of guidelines that are fully consistent with the new guidance of the Conference of the Parties.[2]

17. The GEF secretariat, its Implementing Agencies, and the Convention secretariat are working together to seek ways to intensify the preparation of national communications by non-Annex 1 Parties, including through the widespread dissemination of information on the decision of the Conference of the Parties on national communications and the GEF operational guidelines. Quarterly meetings are organized among the two secretariats and the Implementing Agencies to review progress in the implementation of enabling activities and to identify opportunities for further encouraging the completion of national communications. The meetings are also an occasion to identify other opportunities that may be built upon to disseminate information on how countries may apply for GEF assistance to prepare their national communications. A workshop was organized by the GEF and Convention secretariats in February 1997 in Bonn during the SBI meeting to explain how to obtain financial assistance for the preparation of a national communication.

18. During the reporting period, the Chief Executive Officer/Chairman approved 46 enabling activity projects covering 63 countries (see Table 3). To date, financing for enabling activities in 106 countries has been approved (see Annex B). All these projects have been developed with the full collaboration of the recipient country Party, and all address to some extent the need to prepare national communications. Jordan and Argentina, the first non-Annex 1 countries to have submitted their initial national communications, were assisted through GEF enabling activities. Other countries receiving assistance from the GEF are expected to submit their national communications in late 1997 or early 1998.

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[2] Joint Summary of the Chairs, GEF Council Meeting, October 8-10, 1996, Appendix, Decision on Agenda Item 9, *Relations with Conventions*.

Medium-sized projects

19. At its meeting in October 1996, the Council approved procedures to expedite the processing and implementation of medium-sized projects -- projects for which the requested GEF financing does not exceed US$ 1 million. It is expected that such projects should provide greater flexibility in the programming of GEF resources and encourage a wider range of interested parties to propose and develop project concepts. An information kit designed to assist in the preparation of project proposals has been prepared and circulated widely.

Review of the Financial Mechanism

20. The Conference of the Parties to the Convention decided at its first session "that the restructured GEF shall continue, on an interim basis, to be the international entity entrusted with the operation of the financial mechanism referred to in Article 11 of the Convention;" and also decided, "in accordance with Article 11.4 of the Convention, to review the financial mechanism within four years and take appropriate measures, including a determination of the definitive status of the GEF in the context of the Convention."[3] At its second session, the Conference of the Parties requested the Subsidiary Body for Implementation (SBI) to undertake the review process referred to in the decision 9/CP1.[4]

21. The GEF Council requested the secretariat to collaborate, as appropriate, with the Convention in its review. During consultations between the secretariats of the Convention and the GEF, it was agreed that it would be useful to submit to the SBI, with a view to assisting in its review of the financial mechanism, the following information:

(a) Report of the GEF to the Intergovernmental Negotiating Committee for a Framework Convention on Climate Change on the Restructured Global Environment Facility (A/AC.237/89, December 14, 1994);

(b) Report of the GEF to the First Session of the Conference of the Parties to the United Nations Framework Convention on Climate Change (FCCC/CP/1995/4, March 10, 1995);

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[3] The decision designates the GEF, on an interim basis, as the international entity entrusted with the operation of the financial mechanism referred to in Article 11 of the Convention and decides, in accordance with Article 11.4, to review the financial mechanism within four years and take appropriate measures, including a determination of the definitive status of the GEF in the context of the Convention.

[4] Decision 9/CP.1, FCCC/CP/1995/7/Add.1.

(c) Report of the GEF to the Second Session of the Conference of the Parties to the United Nations Framework Convention on Climate Change (FCCC/CP/1996/8, June 27, 1996) and

(d) An information paper, *Information Prepared by the GEF to Assist the Subsidiary Body for the Implementation in its Review of the Financial Mechanism*, which was submitted to the SBI meeting in February 1997.

22. The GEF secretariat and the Implementing Agencies have worked with the secretariat of the Convention to assist as fully as possible in the review of the GEF. Representatives of the GEF secretariat and the Implementing Agencies participated in the meetings of the SBI concerned with the review of the GEF and responded to questions raised during question and answer sessions. A number of workshops have been organized during SBI meetings to provide information on how to access GEF financing, to promote the preparation of initial national communications through enabling activities, and to present practical experience and knowledge of GEF projects by field directors of climate change activities.

23. The GEF continues to be at the disposal of the Conference of the Parties and reconfirms its interest to collaborate fully in the review of the GEF as the financial mechanism of the Convention.

Arrangements between the Conference of the Parties and the GEF as the entity entrusted with the operation of the financial mechanism

24. At its first session, the Conference of the Parties requested the Convention secretariat, in consultation with the secretariat of the GEF, to prepare draft arrangements between the Conference of the Parties and the operating entity or entities of the financial mechanism for consideration by the SBI at its first session and adoption by the Conference of the Parties at its second session. Accordingly, the SBI considered at its first session the draft Memorandum of Understanding that had been prepared by the two secretariats and approved by the GEF Council at its meeting in July 1995. The SBI decided to recommend that the Conference of the Parties adopt the draft Memorandum, which it did at its second session (Decision 12/CP.2).

25. The SBI also requested the secretariats of the Convention and the GEF to elaborate jointly the annex to the Memorandum of Understanding on procedures to facilitate the joint determination in a predictable and identifiable manner of the amount of funding necessary and available for the implementation of the Convention referred to in paragraph 9 of the Memorandum. The annex to the Memorandum of Understanding, elaborated jointly by the secretariats of the Convention and the GEF,

was approved by the GEF Council at its meeting in April 1996 and submitted to the SBI for its review prior to adoption by the Conference of the Parties.

26. The SBI recommended, and the Conference agreed, that the SBI should consider the draft annex, together with an alternative text submitted by the G.77 and China, at its session in December 1996 (Decision 13/CP.2). The SBI is to report to the third session of the Conference of the Parties on their consideration of the annex.

27. At its fourth session in December 1996, the SBI prepared and adopted an annex to the Memorandum and agreed to transmit it to the GEF Council for expeditious consideration and approval so that the SBI could recommend its adoption by the third session of the Conference of the Parties in December 1997. The Council of the GEF considered and approved the annex prepared by the SBI at its meeting in May 1997. The Council invites the Conference of the Parties to the Climate Change Convention to approve the annex at its third session.

Financial overview of GEF financing for climate change activities, including leveraging of financing from sources outside of the GEF

28. In the reporting period, the following financing was allocated for project activities in the climate change area:

Table 1: Project Financing in the area of climate change May 1996 through June 1997

Type of activity	Number of activities	GEF financing	Co-financing
Project preparation[5]	6	$1.95 million	$0.72 million
Enabling Activities	46	$23.57 million	-
Investment/Technical Assistance Projects	12	$133.71 million	$410.14 million
Sub-total	64	$159.23 million	$410.86 million
Total			**$570.09 million**

29. As is indicated in the table, total project financing during the reporting period exceeded $570 million, of which GEF provided approximately $155 million in grant

[5] This does not include project preparation Block A funds which are used at the very early stages of project or program identification.

financing. An additional $410 million was leveraged in co-financing for the project activities.

30. Since the establishment of the pilot phase of the GEF, a total of $3,810 million has been allocated to climate change activities. Of this sum, $578 million was provided in grants from the GEF Trust Fund. An additional $3,232 million was contributed through co-financing. It is evident that GEF resources are able to leverage considerable additional resources to support the activities of developing countries to address climate change.

Application of the concept of agreed full incremental costs

31. Decision 11/CP.2 also requested the GEF to report on experience gained in the application of the concept of agreed full incremental costs. Annex A describes the GEF experience to date.

IV. PROJECT ACTIVITIES IN THE CLIMATE CHANGE AREA

32. In preparing project proposals, the Implementing Agencies take fully into account the guidance provided by the Conference of the Parties at its first and second meetings. The views of the Convention secretariat on each project proposal in the climate change area are solicited when project proposals are reviewed by the GEF secretariat. The Convention secretariat also attends the GEF Operations Committee, which considers operational policy issues.

33. To facilitate access to GEF resources and the preparation of high quality GEF projects, a GEF project development workshop was designed. To date, 29 workshops have been organized in Africa, Asia/Pacific, Latin America/Caribbean, Europe/Central Asia and Middle East/North Africa. Representatives from 67 developing country Parties participated in workshops. These workshops have been welcomed by participants. Additional requests have been made from countries that have not yet benefited from participating in a workshop. Another six workshops have been initially scheduled for the second half of 1997.

34. Often as a first step in project development, the GEF provides financing through its Project Preparation and Development Facility to assist recipient countries to elaborate upon a project concept and prepare a project proposal. The table below shows GEF project preparation activities approved during the reporting period.

Table 2: Project Preparation
(May 1996 - June 1997)

COUNTRY	PROJECT NAME	GEF FINANCING (IN US$ MILLIONS)
PROJECT PREPARATION FINANCING		
Global	Climate Change Enabling Activity Support Program	0.350
Brazil	Hydrogen Fuel Cell Buses for Brazil	0.344
China	Energy Efficient CFC-free Refrigerators	0.243
China	Energy Conservation Promotion	0.350
Eritrea	Wind Energy Application	0.316
Kazakstan	Removing Barriers to Wind Production	0.350
	Total	**1.953**

35. The following enabling activities have been approved by the Council or the CEO/Chairman of the GEF during the period from May 1996 to June 1997. They cover 63 countries.

Table 3: Enabling Activities
(May 1996 - June 1997)

COUNTRY	PROJECT NAME	GEF FINANCING (IN US$ MILLIONS)
Antigua and Barbuda, Bahamas, Barbados, Belize, Dominica, Grenada, Jamaica, St. Kitts and Nevis, St. Lucia, Trinidad and Tobago,	Regional (CARICOM) Planning for Adaptation to Climate Change	6.3
Cook Islands, Fiji, Kiribati, Marshall Islands, Fed. States of Micronesia, Nauru, Solomon Islands, Tuvalu, Vanuatu & W. Samoa	Pacific Island Climate Change Assistance Project (PICCAP)	2.44

COUNTRY	PROJECT NAME	GEF FINANCING (IN US$ MILLIONS)
Albania	Enabling Albania to prepare its first national communication	0.28
Bhutan	Enabling Activities	0.30
Botswana	Enabling Botswana to fulfill its commitments to the UNFCCC	0.35
Brazil	Enabling Brazil to fulfill its commitments to the UNFCCC	1.5
Burkina Faso	Enabling Burkina Faso to prepare its first National Communication to the UNFCCC	0.24
Cambodia	Enabling Activity for the preparation of First National Communication	0.33
Chile	Enabling Chile to fulfill its commitments to the UNFCCC	0.35
Cape Verde	Enabling Activities	0.32
Costa Rica	Building National Technical Capacity to develop Options for GHG emissions reductions and carbon sinks enhancement	0.47
Congo (Democratic Republic of)	Enabling Congo (DR of) to fulfill its commitments to the UNFCCC	0.35
DPR Korea	Enabling Activities	0.15
Egypt	Building Capacity for GHG Inventory and Action Plans in Egypt	0.40
El Salvador	Enabling Activities	0.32
Eritrea	Enabling Eritrea to prepare its first national communications	0.30
Ethiopia	Enabling Ethiopia to prepare its first national communications to the UNFCCC	0.22
Gambia	Enabling Activities	0.13
Georgia	Enabling Georgia to fulfill Activities	0.33
Guatemala	Enabling Activities	0.33
Guinea	Enabling Guinea to prepare its First National Communication to the UNFCCC	0.33
Guinea Bissau	Enabling Activity	0.35
Honduras	Enabling Activity	0.33
Iran	Enabling Activity	0.35
Jordan	Capacity Building to enable response to the UNFCCC	0.24

COUNTRY	PROJECT NAME	GEF FINANCING (IN US$ MILLIONS)
Laos	National GHG Inventory project	0.31
Lesotho	Enabling Activity	0.35
Malaysia	National GHG Inventory and Response to the UNFCCC	0.47
Malawi	Enabling Activity	0.19
Maldives	National GHG Inventory and Adaptation Assessment of climate change	0.86
Mexico	Development of GHG Emission Coefficients from Live Systems in Central Mexico & development of a related information	0.31
Nigeria	Enabling Activity	0.27
Papua New Guinea	Enabling Activity	0.35
Seychelles	Enabling Seychelles to prepare its first national communication	0.25
Sierra Leone	Enabling Sierra Leone to prepare its first national communication to the UNFCCC	0.31
Sri Lanka	Enabling Sri Lanka to prepare its first national communication	0.11
Sudan	Capacity Building to enable the Sudan's response and communication to the UNFCCC	0.29
Swaziland	Enabling Activity for implementation of the UNFCCC	0.26
Togo	Enabling Activity	0.34
Tunisia	National Strategy and Action Plans for emission reduction Enabling Activities	0.57
Turkmenistan	Enabling Activity	0.35
Uganda	Enabling Uganda to prepare its first national communications	0.08
Uzbekistan	Country Study on climate change	0.33
Yemen	Enabling Yemen to prepare its First National Communication to UNFCCC	0.20
Zambia	Enabling Activity	0.26
Zimbabwe	Enabling Activity	0.10
	Total	**23.57**

36. The table below lists the investment and technical assistance projects approved by the GEF Council during the reporting period. The list includes four projects to be implemented in collaboration with Annex I countries (Bulgaria, Czech Republic, Latvia and Russia).

Table 4: Investment/Technical Assistance Projects (May 1996-June 1997)

COUNTRY	PROJECT NAME	GEF FINANCING (IN US$ MILLIONS)	TOTAL FINANCING (IN US$ MILLIONS)
Global (India, Kenya, Morocco)	Photovoltaic Market Transformation Initiative	30.00	120.00
Regional (Egypt and Palestinian Authority)	Energy Efficiency Improvements and Greenhouse Reduction	6.36	8.1
Bolivia	Renewable Energy Based Rural Electrification	4.21	8.5
Brazil	Biomass Power Commercial Demonstration	40.00	122.5
Bulgaria	Energy Efficiency Strategy to Mitigate Greenhouse Gas Emissions	2.58	4.18
China	Energy Conservation Project	22.00	180.0
China	Capacity Building for the Rapid Commercialization of Renewable Energy	8.83	27.65
Czech Republic	Kyjov Waste Heat Utilization	5.09	13.97
Ghana	Renewable Energy-based Electricity for Rural Social and Economic Development in Ghana	2.47	2.57
Latvia	Solid Waste Management and Landfill Gas Recovery	5.12	25.00
Russian Federation	Capacity Building to reduce Key Barriers to Energy Efficiency in Russian Residential Buildings and Heat Supply	2.98	5.59
	Total	**133.71**	**543.85**

37. The following table lists approved multi-focal area projects which have climate change components or approved project preparation financing for multi-focal area projects.

TABLE 5: MULTI-FOCAL PROJECTS (MAY 1996-JUNE 1997)

COUNTRY	PROJECT NAME	GEF FINANCING (IN US$ MILLIONS)	TOTAL FINANCING (IN US$ MILLIONS)
PROJECT PREPARATION FINANCING			
Global	Supporting Country-driven GEF-eligible Projects through the GEF Project Development Workshop	0.56	0.56
Global	Land Degradation Workshop	0.10	0.10
Regional	Global Environmental Citizenship	0.24	0.24
Regional (Argentina, Bolivia, Brazil, Chile, Colombia, Ecuador, El Salvador, Guatemala, Guyana, Honduras, Mexico, Nicaragua, Panama, Paraguay, Peru, Uruguay, Venezuela)	Integrating Global Environmental Dimensions into Public Policy Making in Latin America	0.21	0.21
	Sub-total	**1.11**	**1.11**
MULTI-FOCAL AREA PROJECTS			
Global	Small and Medium Scale Enterprise Program (replenishment)	16.50	36.00
Regional (Belize, Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, Panama)	Central American Fund for Environment and Development: Account for the Global Environment	15.00	35.00
	Sub-total	**31.50**	**71.00**
	Total	**32.61**	**72.11**

V. GEF MONITORING AND EVALUATION ACTIVITIES

38. At its October 1996 meeting, the Council approved a work program and budget for the GEF monitoring, evaluation, and dissemination program. It is fully recognized by the Council that the Conference of the Parties will be an important user of the results that will emerge from the GEF monitoring and evaluation. This work program includes activities at all stages of the project cycle concerning the design of monitoring and evaluation components in projects, performance monitoring reports, mid-term evaluations, project completion reports and performance audits, and evaluation of project impact. The program also provides for an evaluation of the performance of the operational strategy, and assessments of GEF's global results and impacts.

39. In this context, a study of GEF's Overall Performance is being undertaken to assess to what extent the GEF has achieved, or is making progress towards the achievement of, the main objectives and guidelines laid down during the restructuring in 1994. The report will be an input for the GEF Assembly to be held in April 1998, but is equally intended to inform all GEF stakeholders, particularly the Conference of the Parties to the Conventions, the GEF Council, Implementing Agencies, executing agencies, NGOs, and the interested public. The study will assess, among other things, GEF's approaches and strategies to operationalize Convention guidance and Council decisions.

40. In the area of climate change, the study team will assess the GEF's contribution to country-level processes that prepare countries to implement the Convention, including assistance to countries for fulfilling their reporting requirements and taking related measures in compliance with the Convention. The study will also examine the degree to which the identification and implementation of projects is country-driven. The study will examine information sharing and coordination between the Convention secretariat and the GEF secretariat, as well as between the Parties to the Convention and the GEF Council Members. It will also present the main lessons learned in project implementation to date. In the preparation of the studies, ten field visits are being undertaken and information collected by local consultants in six other countries. It is expected that these will assist in identifying practical problems encountered by recipient countries during all phases of the project and will contribute to the Council's efforts to continuously improve the performance of the GEF.

Project Implementation Review 1995 and 1996

41. During the reporting period, the GEF conducted two annual project implementation reviews: one for 1995 and the other for 1996. The project implementation review is a feature of the monitoring and evaluation program, and it is prepared in full collaboration with the Implementing Agencies. Copies of the reports of

the project implementation review will be available to the Parties at the third session of the Conference of the Parties.

VI. CONCLUSIONS

42. The restructured GEF is now fully operational and it has begun negotiations for the replenishment of its Trust Fund. The GEF has demonstrated that it institutionally complies with the provisions of Article 11 of the Convention, and this has been formalized in the Memorandum of Understanding approved by the Conference of the Parties and the GEF Council. As is clear from its activities, the GEF has been fully responsive to the guidance of the Conference of the Parties concerning the policies, program priorities, and eligibility criteria related to the Convention.

43. As a result of its experience in operating the financial mechanism of the Convention, the GEF now possesses unique operational and policy skills to assist countries in undertaking activities to meet the objectives of the Convention. GEF-financed projects have served to strengthen significantly the capacity and expertise of developing countries to address climate change issues. The GEF Implementing Agencies - UNDP, UNEP and the World Bank - have reinforced their institutional capacity to assist developing countries in the development and management of climate change projects, and continuous efforts are being made to further mainstream climate change considerations into their regular program of activities. The GEF Council confirms the willingness of the GEF to operate the financial mechanism of the Convention and looks forward to its continuing collaboration with the Conference of the Parties.

ANNEX A

EXPERIENCE OF THE GEF IN THE APPLICATION OF AGREED FULL INCREMENTAL COSTS

ANNEX A: EXPERIENCE OF THE GEF IN THE APPLICATION OF AGREED FULL INCREMENTAL COSTS

INTRODUCTION

1. The second session of the Conference of the Parties to the UN Framework Convention on Climate Change (FCCC) provided the GEF, as the interim operating entity of the financial mechanism, with guidance also requested the GEF to report to the Parties at their third session on the implementation of the guidance, including on the application of the concept of agreed full incremental costs. This annex reports on the GEF experience in the application of the concept of incremental costs.

2. Although the use of an incremental costs principle for financial transfers in the context of international treaties is of recent origin, its use in business and economics goes back many decades. Its use in FCCC was presaged by the Hague Declaration in March 1989 and by Article 10 of the London Amendments to the Montreal Protocol in June 1990. Article 4.3 of FCCC stipulates that Annex II Parties are to provide ne[illegible]and additional financial resources, including for the transfer of technology needed by developing country Parties to meet the agreed full incremental costs of implementing measures covered by Article 4.1 and that are agreed between a developing country Party and the entity operating the financial mechanism. Article 33.14 (a) (iii) of Agenda 21 contains a similar provision.

3. The first session of the Conference of the Parties in Berlin in April 1995 offered the following guidance to the GEF in Decision 11/CP.1/1(e):

> The various issues of incremental costs are complex and difficult and further discussion on the subject is therefore needed. The application of the concept of agreed full incremental costs should be flexible, pragmatic, and on a case-by-case basis. Guidelines in this regard will be developed by the Conference of the Parties at a later stage on the basis of experience.

4. The GEF Council, at its fourth meeting in May 1995, reviewed document GEF/C.2/6/Rev.2 and approved the approach on estimating agreed incremental costs set out in Section 1 of the document. Responding to the recommendation of the Conference of the Parties, the Council recognized the need for a flexible application of the concept of incremental costs. When considering such issues as domestic costs and benefits, the Council recommended that the notion of "environmental reasonableness" be taken into account so as not to penalize progressive environmental action in recipient countries.

5. Based on Council comments, the GEF policy on incremental costs was revised and issued on February 29, 1996, as GEF/C.7/Inf.5. The paper includes an annex

describing the standard reporting format for documenting the estimation of incremental costs.

6. This report presents the understanding of the expression *agreed full incremental costs* and describes briefly how the GEF has responded to the Conference of the Parties guidance to ensure transparency, flexibility, pragmatism, case-by-case application, and responsiveness to country requests.

AGREED FULL INCREMENTAL COSTS

Incremental Costs

7. In general, incremental cost is the difference between the costs of one way of achieving certain objectives (the baseline) and another way of achieving the same objectives along with some additional objective or subject to an additional constraint. GEF finances those incremental costs that are incurred specifically to achieve global environmental objectives that are otherwise not achievable. Action to achieve sustainable development at the national level is not always sufficient to achieve sustainability at a global level because some activities may have detrimental global environmental effects. Additional national action beyond what is required for national development is therefore often desirable. Such additional actions impose incremental costs on countries beyond the costs that are strictly necessary for achieving national developmental goals, but these generate additional benefits that the world as a whole can share.

8. Thus, incremental cost must be estimated case-by-case as the difference between two costs -- the proposed expenditure on the GEF supported activities and the costs of the activities they substitute. Without incremental cost financing from GEF, the incremental cost would be an additional economic burden placed on national development.

9. Expenditure estimates are usually available for any fully prepared project, but estimating cost savings on substituted baseline activities presents a more difficult operational problem. Cost savings pertain to the projected baseline of future activities for sustainable development that does not explicitly take into account global environmental considerations. A plausible baseline has the following characteristics: it should address national development goals, be technically feasible, and economically, environmentally, and financially reasonable.

Agreement

10. The grant for the amount of incremental costs is *agreed* between the GEF Implementing Agency and the recipient country. As all GEF projects must be endorsed by the country, none is implemented unless such agreement exists.

11. GEF financing of incremental costs achieves two desirable and equally important objectives. First, new and additional financing as dedicated to achieving global environmental benefits rather than to achieving development and local environmental benefits for which other sources of funds are appropriate. Second, eligible countries need not divert scarce development finance to achieve global objectives nor give up their national development goals to do so.

Provision of Full Incremental Costs

12. The Convention uses the term "full" incremental costs. For the GEF, this implies that all significant incremental costs should be identified and that the grant is not to be reduced by subtracting either any *additional* domestic benefit or share of the global benefit that the country will enjoy. By tracing a measure's ramifications through the economy, every effort is made to identify *all* significant incremental costs and not just the most obvious ones. The system boundary for analysis is chosen to be wide enough to include all significant changes in costs between the situation with and without the GEF-financed measure, yet narrow enough to be tractable. By consciously seeking to capture all relevant costs, GEF tries to ensure that the incremental cost is estimated in full. This would include all relevant environmental, social, and indirect or system costs beyond the immediate physical boundary of the project.

13. Annex B to this report provides a summary of the financing of climate change projects by the GEF. Incremental costs are being financed in full and are not being borne by the recipient countries. Because GEF projects are country-driven and implementation is entirely voluntary, recipients need not incur incremental costs they feel would not be reimbursed in full.

AGREED FULL COSTS

14. In those cases where the baseline clearly involves no action, total costs and incremental costs will be equal. For example, without global considerations, countries need not prepare a greenhouse gas inventory, so the baseline is simply "no inventory activity" and the incremental cost of the inventory is actually the total cost. In

particular, the total costs of preparing national communications are obviously incremental, and these are paid in full by GEF for non-Annex-1 Parties.[6]

ENHANCEMENT OF TRANSPARENCY

15. The transparency of GEF operations is intended to promote fairness and equity. The use of an incremental cost framework seeks to avoid arbitrariness and to provide this transparency. GEF seeks to maximize transparency of its agreements concerning incremental costs by public disclosure of full documentation and to minimize arbitrariness by working with baselines defined for broader development purposes.

16. With the exception of "umbrella projects", every project included in the work program has an incremental cost annex. Along with the project briefs, these annexes are public documents and freely available on the internet or upon request. Secondly, recognizing that for every country baselines are dynamic and evolving, GEF prefers, for more complex projects, to use a baseline that had been prepared for overall development purposes, rather than generated for a particular GEF incremental cost estimation. The most credible baseline is one that is established independently (e.g., a power sector expansion plan) of the particular GEF-supported activity under consideration.

17. Model baseline scenarios have been developed by the GEF, in collaboration with organizations in developing countries, on the bases of case studies. The GEF secretariat worked with the Organization for Latin American Development of Energy (OLADE) on procedures to estimate incremental costs in a system-wide contact in the electric power sector; with the Asia Pacific Bureau of Wetlands International on estimating the incremental costs of protecting biodiversity in Asia, and with several regional centers in Africa (e.g., Southern Center, Zimbabwe, ENDA in Senegal) on estimating the incremental costs of climate change mitigation projects.

FLEXIBILITY, PRAGMATISM, AND CASE-BY-CASE APPLICATION

18. The Conference of the Parties and the GEF Council have each emphasized the importance of flexibility in the application of the concept of incremental costs.[7] The use of the incremental cost framework on a case-by-case basis helps reinforce a pragmatic approach. Because the framework is intended to be generally applicable, rather than

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[6] This example is used for the purposes of illustration. It is fully recognized that Article 4.3 calls for the "Agreed full costs incurred by developing country Parties in complying with their obligations under Article 12, paragraph 1," to be met. Article 12, paragraph 1 calls for the preparation of national communications, including a national inventory.

[7] See Decisions 11/CP.1/1(e) and 11/CP.2/paragraph 3 of the Conference of the Parties and Decision on Agenda item 8, Joint Summary of the GEF Council, May 1995.

restricted to specific types of incremental costs (such as capital, operating, transaction, or learning costs), GEF has not created indicative lists of explicitly eligible expenditures. Thus there are no automatic inclusions or exclusions; the incremental cost argument must be made on a case-by-case basis for every project.

19. Recognition that not all projects can be made to fit the same mold has led to a great deal of flexibility in GEF operations. Thus projects which span multiple operational programs, or focal areas, or regions have also been supported. A few "umbrella" projects have also been funded (e.g., Small Grants Program, Small and Medium Enterprise Fund, Renewable Energy and Energy Efficiency Fund, and Photovoltaic Market Transformation Initiative). At the time of work program inclusion, the sub-projects these projects will fund are not identified; thus these projects do not contain the regular incremental cost annexes. Instead, by the time of final approval, they are required to have acceptable criteria for the determination of incremental costs. Having umbrella projects effectively decentralizes the process for the estimation of incremental costs. Having acceptable criteria for their estimation provides the necessary safeguards.

20. The GEF incremental cost guidelines further promote pragmatism by calling for incremental cost estimates for each major project component (e.g., wind farms and photovoltaic systems). Implementing Agencies are not required to document small detail or to calculate amounts to a great degree of precision.

Responsiveness to Country Requests

21. The *Instrument for the Establishment of the Restructured GEF* (paragraph 4) provides that the GEF will only fund country-driven projects and programs.

> The GEF shall ensure the cost-effectiveness of its activities in addressing the targeted global environmental issues, shall fund programs and projects which are country-driven and based upon national priorities designed to support sustainable development and shall maintain sufficient flexibility to respond to changing circumstances in order to achieve its purpose.

22. One of the ten operational principles set forth in the GEF Operational Strategy for the development and implementation of operational activities is:

> The GEF will fund projects that are country-driven and based upon national priorities to support sustainable development, as identified within the context of national programs.

23. GEF projects and PDF proposals are country-driven. They will not be approved without the written endorsement of GEF country focal points. Projects which are developed in partnership with the recipient country, provide GEF financing for the *full* incremental costs as agreed with the partner country.

STREAMLINED PROCEDURES FOR INCREMENTAL COST ASSESSMENT

24. In March 1997, the GEF secretariat, after consultation with the Implementing Agencies, issued streamlined procedures for the estimation of incremental costs. By minimizing the analytical work required in conceptually simple situations, these procedures help avoid delays on reaching agreement on specific incremental cost estimates. These procedures are being used for project review and are being incorporated into the formats for project proposals.

CONCLUSIONS

25. Although some uncertainties always remain, the use of the incremental cost framework, as developed by the GEF, has made available a tool for agreeing on cost estimates. Baselines are derived in a transparent and credible way through a dialogue with the country; they either come from outside the GEF context or are independently verifiable or both, but are not *ad hoc*. Several principles are regularly followed. Incremental cost estimates are required for all major separable components. Economic costs rather than financial costs are used in estimation of incremental cost, and system-wide and indirect costs form a legitimate part of the incremental cost estimation.

26. More paradigm cases that illustrate the application of incremental cost principles are being made available, and increased attention is also being paid to outreach and disseminating information on experience gained in estimating incremental costs.

ANNEX B

LIST OF GEF EXPENDITURES IN THE AREA OF CLIMATE CHANGE (AS OF JUNE 1997)

List of GEF Expenditures in the Area of Climate Change

(As of June 1997)

Country	Project Name	Entry[1] into WP	GEF IA	GEF[2] Allocation	Total[2] Costs	Project Description
			I. List of Project Preparation Financing			
*Global	Climate Change Enabling Activity Support Program	3/97	UNDP	$0.35	$0.35	This PDF is designed to prepare a support program which will ensure that timely and effective support is provided to expedite and facilitate the work being undertaken through these GEF sponsored enabling activities.
*Regional, Antigua and Barbuda, Bahamas, Barbados, Belize, Dominica, Grenada, Jamaica, St. Kitts and Nevis, St. Lucia,Trinidad and Tobago	Planning for Adaptation to Climate Change(CARICOM)	6/29/95	WB	$0.31	$0.43	See project description. PDF supported detailed project preparation, national stakeholder consultations, and regional workshops to agree on final project design Participating countries include Antigua and Barbuda, Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Jamaica, St. Kitts and Nevis, St. Lucia, and Trinidad and Tobago.
Argentina	Renewable Energy for Rural Markets	3/14/96	WB	$0.12	$0.32	The PDF is financing (a) evaluation by province of existing renewable energy sources (solar, wind and mini-hydro); (b) economic comparisons between electricity supply with renewable and conventional sources (diesel generation groups) in dispersed rural markets to determine incremental costs, (c) calculation of global benefits (CO_2 emissions reductions), (d) recommendations for future project development.
Argentina	Waste Gas Re-injection	3/15/95	WB/IFC	$0.10	$0.20	PDF funds assisted four Argentine oil companies to investigate technical and economic issues associated with methane recovery and eliminating CO_2 and methane venting and flaring.

1) Date work program approved by Council for long-term operations and short-term measures; for enabling activities date of CEO approval.

2) In US$ millions.

Country	Project Name	Entry [1] into WP	GEF IA	GEF [2] Allocation	Total [2] Costs	Project Description
Bolivia	Renewable Energy	2/96	UNDP	$0.24	$0.24	Will over-come principal barriers associated with the development and sustainability of a renewables-based rural electrification programme from wind, solar and biomass applications. Components of the national programme will include technical and managerial training for both local users and operators.
Brazil	Hydrogen Fuel Cell Buses for Brazil	3/97	UNDP	$0.34	$0.34	The objective is to accelerate the commercialization of fuel cell buses that can use hydrogen produced from renewable resources. Reaching commercially-mature cost levels will allow such buses to play major roles in urban mass transit system of Brazil and other countries, thereby reducing the emission of pollutants.
China	China Energy Efficient CFC-Free Refrigerators	6/96	UNDP	$0.24	$0.24	The objective of this project is to promote the adoption of energy-efficient designs and technologies in the refrigerator industry in China under the Operational Programme #5. The project will support the large scale application of energy efficient refrigerators in China and assist the government of China in fulfilling its obligations under the FCCC related to the stabilization of GHG emissions.
China	Energy Conservation Promotion	5/14/96	WB	$0.35	$0.72	PDF resources will help design project components to remove barriers to energy conservation in China, in particular components addressing information dissemination and and perceived risk through Energy Management Companies. The PDF will also examine incremental costs and financing sources and mechanisms for the project.
China	Renewable Energy Promotion	9/14/95	WB	$0.14	$0.54	The PDF is supporting a pre-feasibility study on renewable energy which will result in an evaluation of both power-related (grid connected and off-grid) and non-power applications (e.g., heating, cooking).
China	Energy Conservation Promotion	12/16/96	WB	$0.35	$0.72	This PDF continues and completes the activities begun under the first PDF B for this proposed project.
China	Efficient Industrial Boilers	3/15/95	WB	$0.75	$1.00	See project description. PDF is financing identification and evaluation international boiler technology sources, pre-qualification evaluation and eventual selection of Chinese enterprises to receive efficient boiler technologies, and preparation of Chinese enterprises to contact international technology suppliers.
Cuba	Development of Electric Energy from Sugarcane Biomass for Displacing Fossil Fuel Consumption	12/95	UNDP	$0.35	$0.35	PDF B activities representing the first phase of a two-phase process and consisting of targeted feasibility/pre-feasibility studies of varying levels of detail to characterize the opportunities for undertaking one or more site-specific technology development, demonstration, and/or commercialization efforts in subsequent investment phases.

1) Date work program approved by Council for long-term operations and short-term measures; for enabling activities date of CEO approval.

2) In US$ millions.

Country	Project Name	Entry [1] into WP	GEF IA	GEF [2] Allocation	Total [2] Costs	Project Description
Eritrea	Wind Energy Applications in Coastal Regions of Eritrea	11/96	UNDP	$0.32	$0.57	Expected benefits of the proposed Wind Energy Applications: a) a saving of fossil fuels; b) a lowering of the dependence on oil imports; c) a (probable) lowering of the overall electricity generation costs in the self contained systems; d) the provision of clean water supply by wind pumps to the community.
Ghana	Renewable Energy-Based Electricity for Rural, Social and Economic Development	10/95	UNDP	$0.59	$0.59	Ghana is expanding its thermal power generation. Thermal power from fuel oil will be the marginal source of electricity for rural electrification. The project will facilitate the widespread sustainable use of low carbon renewable energy-based electricity supply technologies to meet electricity needs in more than 3000 presently unelectrified communities.
India	Solar Thermal-Electric	3/14/96	WB	$0.75	$1.85	See project description. PDF will assist the environmental assessment and the final detailed technical design studies.
India	Carbon emission reduction through biomass energy for rural India (SUTRA)	1/96	UNDP	$0.20	$0.20	Project to establish the commercial viability of various bio-energy options and their potential for widespread adoption at the village level in India so as to actively promote a low carbon dioxide path to development in India. It would lead to widespread adoption at the village level in India and would allow for widespread adaptation to meet the energy needs of domestic, farm and commercial sectors in rural India.
Kazakstan	Removing Barriers to Wind Production in Kazakstan	11/96	UNDP	$0.35	$0.45	The full-scale project to be developed with the PDF resources requested will remove barriers to commercial scale, grid-connected wind power production in Kazakstan, thereby reducing the need for new fossil fuel based power plants and the associated greenhouse gas emissions.
Sri Lanka	Energy Services Delivery	8/17/95	WB	$0.20	$0.88	PDF supported detailed project preparation. See project description.
				$6.03	**$9.98**	

1) Date work program approved by Council for long-term operations and short-term measures; for enabling activities date of CEO approval.

2) In US$ millions.

Country	Project Name	Entry [1] into WP	GEF IA	GEF [2] Allocation	Total [2] Costs	Project Description
			II. List of Enabling Activities			
*Global, Benin, Bolivia, Chad, Cook Islands, Cuba, Ecuador, Fiji, Kiribati, Marshall Island, Nauru, Paraguay, Peru, Senegal, Solomon Islands, Tuvalu, Vanuatu, W. Samoa	CC TRAIN Phase Two-Training Programme to Support the Implementation of the UNFCCC	5/95	UNDP	$2.70	$3.20	The project has three objectives: a) enhance the capacity of each of the participating countries to implement the Convention by facilitating the establishment of a national institution and process for the development of a strategy to implement the Convention; b) enhance the capacity of four regional partner institutions to play the major role in carrying out the first objective; and c) create an informal training network to allow the sharing of training resources developed by other programmes and institutions.
*Regional	Planning for Adaptation to Climate Change	5/4/95	WB	$6.30	$6.30	The project will support Caribbean countries in preparing to cope with adverse effects of climate change. It will (i) strengthen the regional capacity to monitor and analyze sea-level trends; (ii) identify vulnerable areas; (iii) develop a framework for cost-effective response and adaptation to climate change in coastal and marine areas; (iv) provide training; and (v) identify and assess policy options and instruments that would initiate long-term adaptation to climate change.

1) Date work program approved by Council for long-term operations and short-term measures; for enabling activities date of CEO approval.

2) In US$ millions.

Country	Project Name	Entry [1] into WP	GEF IA	GEF [2] Allocation	Total [2] Costs	Project Description
*Regional, Cook Islands, Fiji, Kiribati, Marshall Islands, Micronesia, Nauru, Solomon Islands, Tuvalu, Vanuatu, W. Samoa	Pacific Island Climate Change Assistance Project (PICCAP)	10/95	UNDP	$2.44	$2.44	PICCAP derived from a GEF training-cum-scoping workshop held in Nadir, Fiji. The project will enable Pacific Island countries to meet their reporting obligations under the UNFCCC, leading to their national communication as required under Article 12. Moreover, this 'enabling activity' will facilitate the implementation of effective response measures by these Pacific Island countries.
Albania	Enabling Albania to Prepare its First National Communication in Response to its Commitments to the UNFCCC	6/30/96	UNDP	$0.28	$0.28	This project will help respond to the objectives of the Convention on a continuous basis and support the preparation of the National Communication to the CoP. A national plan for adaptation to climate change will be formulated. It will enhance general awareness. It will develop an institutional mechanism/framework to facilitate dialogue, information exchange, etc.
Argentina	Country Study on Climate Change	2/95	UNDP	$1.00	$1.00	The project will prepare and publish Argentina's first GHG inventory and assessment of potential vulnerabilities to climate change as well as Argentina's first National Communication to the COP.
Armenia	Country Study on Climate Change	5/95	UNDP	$0.35	$0.35	This project will build capacity to fulfill its commitments to the UNFCCC. It consists of the preparation of the first national communication of Armenia to the CoP; enhancement of general awareness among the Government planners on climate change related issues, and incorporation of such issues into a general development plan; development of an institutional mechanisms to strengthen the dialogue, information exchange and cooperation between Governmental, NGOs, academic, private and grassroots sectors.
Bhutan	Greenhouse Gas Enabling Activity	4/96	UNDP	$0.30	$0.30	The project will enable Bhutan to meet its reporting obligations under the UN Framework Convention on Climate Change, leading to their National Communication as required under Article 12.

1) Date work program approved by Council for long-term operations and short-term measures; for enabling activities date of CEO approval.

2) In US$ millions.

Country	Project Name	Entry [1] into WP	GEF IA	GEF [2] Allocation	Total [2] Costs	Project Description
Botswana	Enabling Botswana to Fulfill Its Commitments to the UN Framework Convention on Climate Change	2/95	UNDP	$0.35	$0.35	The project will support enabling activities for Botswana to fulfill its commitments to the UNFCCC. The immediate objectives of the project are the improved technical capacity of the organizations linked to the UNFCCC, the increased public awareness of climate change issues and strengthened capacity to prepare climate change projects.
Brazil	Commitment to UNFCCC	10/95	UNDP	$1.50	$1.50	The project will enable Brazil to meet its reporting obligations under the Framework Convention on Climate Change, leading to their National Communication as required under Article 12.
Burkina Faso	Enabling Burkina Faso to prepare its first National Communication to the UNFCCC	5/19/97	UNDP	$0.24	$0.24	Enabling Activities
Cambodia	Enabling Cambodia to Prepare Its First National Communication in Response to the UNFCCC	3/97	UNDP	$0.33	$0.33	Enabling Activities
Cape Verde Islands	Enabling Cape Verde to Prepare Its First National Communication in Response to Its Communication to the UNFCCC	3/97	UNDP	$0.32	$0.32	Enabling Activities
Chile	Chile: Enabling Chile to Fulfill its Commitments to the UNFCCC	7/96	UNDP	$0.35	$0.35	The project will enable Chile to meet its reporting obligations under the UN Framework Convention on Climate Change, leading to their National Communication as required under Article 12.
Congo (DR of)	Enabling Commitments to UNFCCC	10/95	UNDP	$0.35	$0.35	The objectives of this project are to prepare the first National Communication of the DR of Congo to the UNFCCC and to enhance indigenous capacity in the country to continue its fulfillment of its commitments to the convention on a continuous basis.

1) Date work program approved by Council for long-term operations and short-term measures; for enabling activities date of CEO approval.

2) In US$ millions.

Country	Project Name	Entry [1] into WP	GEF IA	GEF [2] Allocation	Total [2] Costs	Project Description
Costa Rica	Building National Technical Capacity to Develop Options for Greenhouse Gas Emissions Reductions and Enhancement of Carbon Sinks.	5/95	UNDP	$0.47	$0.60	The project will develop Costa Rica's institutional capability and technical procedures to provide the scientific underpinning for policy analysis and decision making in greenhouse gas reduction and sinks enhancement; develop a portfolio of cost effective GHG reduction and sinks enhancement policy options, measures and strategies; and catalyze mitigation policy and legislation development and implementation.
DPR Korea	Enabling DPR Korea to Prepare its First National Communication in Response to its Commitments to the UNFCCC	2/12/97	UNDP	$0.15	$0.15	The project enables D.P.R. Korea to prepare its first national communication to the UNFCCC. It will complement the activities to be undertaken in the ALGAS project. This project will also undertake an assessment of impacts of climate change in DPRK and an analysis of potential measures and development of a national action plan to adapt to climate change.
Egypt	Building Capacity for GHG Inventory and Action Plans in Egypt in Response to UNFCCC Communications Obligation	5/95	UNDP	$0.40	$0.40	This project will promote technical assistance and build capacity in Egypt to respond to the UNFCCC through the enhancement of institutional networks, development of GHG inventory assessments, training of personnel, establishment of policy dialogues, evaluation of climate change mitigation initiatives, review of climate change impacts and project proposal development.
El Salvador	Enabling El Salvador to Prepare Its First National Communication in Response to Its Communication in Commitments to the UNFCCC	3/97	UNDP	$0.32	$0.32	Enabling Activities
Eritrea	Enabling Eritrea to Prepare its First Communication in Response to its Commitments to the UNFCCC	9/4/96	UNDP	$0.30	$0.30	The objectives of the project are to prepare the first National Communication of Eritrea to the Conference of the Parties in accordance with Article 12 of the UNFCCC and buid in-country capacity to fulfill its commitments to the Convention.
Ethiopia	Enabling Ethiopia to prepare its first national communications to the UNFCCC	5/19/97	UNDP	$0.22	$0.22	Enabling Activities

1) Date work program approved by Council for long-term operations and short-term measures; for enabling activities date of CEO approval.

2) In US$ millions.

Country	Project Name	Entry [1] into WP	GEF IA	GEF [2] Allocation	Total [2] Costs	Project Description
Gambia	Enabling Gambia to Prepare Its First National Communication in Response to Its Commitments to the UNFCCC	3/97	UNDP	$0.13	$0.13	Enabling Activities
Georgia	Enabling Georgia to Fulfill its Commitments to the UNFCCC	9/4/96	UNDP	$0.33	$0.33	The project is to enhance general awareness and knowlege of climate change issues in Georgia. The project will assist Georgia in identifying concrete response measures to climate change for projects. The main emphasis will be on win-win measures, which represent a least-cost option to meet national development goals, and which address the global climate change issue.
Guatemala	Enabling Guatemala to Prepare Its First National Communication in Response to Its Commitments to the UNFCCC	3/97	UNDP	$0.33	$0.33	Enabling Activities
Guinea	Enabling Guinea to prepare its fist national communications to the UNFCCC	5/19/97	UNDP	$0.33	$0.33	Enabling Activities
Guinea Bissau	Enabling Activities	6/97	UNDP	$0.35	$0.35	Enabling Activities
Honduras	Enabling Honduras to Prepare Its First National Communication in Response to Its Commitments to the UNFCCC	3/97	UNDP	$0.33	$0.33	Enabling Activities
Iran	Enabling Activities	6/97	UNDP	$0.35	$0.35	Enabling Activities

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Country	Project Name	Entry[1] into WP	GEF IA	GEF[2] Allocation	Total[2] Costs	Project Description
Jordan	Capacity Building to Enable Response to the UNFCCC	2/95	UNDP	$0.24	$0.24	This project is to build capacity in Jordan to advance national interests related to climate change. This includes capacity to respond to the UNFCCC, to more actively and effectively pursue energy and natural resource management activities related directly or indirectly to climate change mitigation and adaptation, and to take advantage of new opportunities related to the procurement of funding or projects related to climate change.
Lao PDR	National Greenhouse Gas Inventory Project	10/95	UNDP	$0.31	$0.31	Capacity Building Enabling Activity to assist the government of Lao PDR to prepare the reporting requirements of the Convention contained in Article 12 (communication of information related to implementation) and to improve the capacity in country to comply with the UNFCCC.
Lebanon	Lebanon - Building Capacity to Respond to UNFCCC	10/95	UNDP	$0.29	$0.29	This project will build Lebanon's capacity to fulfill its communication requirements to the UNFCCC and respond to the objectives of the Convention on a continuing basis. This will be achieved through the development of a GHG inventory, the assessment of GHG mitigation options, the assessment of vulnerability and adaptation options, and the presentation of the first national communication to the UNFCCC.
Lesotho	Enabling Activities for the Implementation of the UN Framework Convention on Climate Change	9/96	UNEP	$0.35	$0.40	Project provides support for the development of national GHG inventory, mitigation study, impact and vulnerability assessment, national mitigation and adaptation plans, and national communication.
Malawi	Enabling Malawi to Prepare Its First Communication in Response to Its Commitments to the UNFCCC	3/97	UNDP	$0.19	$0.19	Enabling Activities
Malaysia	National Greenhouse Gas Inventory and Response to the United Nations Framework Convention on Climate Change.	5/95	UNDP	$0.47	$0.63	To assist the government of Malaysia to prepare the reporting requirements of the Convention contained in Article 12 (communication of information related to implementation) and to improve the capacity in country to comply with the FCCC.
Maldives	National GHG Inventory and Adaptation Assessment to Climate Change	2/95	UNDP	$0.86	$0.86	The project is to enable the Republic of Maldives meet the standards and reporting requirements of the UN Framework Conention on Climate Change. Resulting methodologies may be replicated for similar low-lying small island states.

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Country	Project Name	Entry[1] into WP	GEF IA	GEF[2] Allocation	Total[2] Costs	Project Description
Mexico	Development of GHG Emission Coefficients from Live Systems in Central Mexico and Development of a Related Information Management System	5/95	UNDP	$0.31	$0.31	The project will produce country specific data and information on several important sources of greenhouse gas emissions, in particular enteric fermentation in cattle and rainfed agricultural soils, and will ensure that Mexico can effectively produce an accurate National Communication to the Climate Change Secretariat in fulfillment of its Convention obligations.
Nigeria	Enabling Activities for the Implementation of Convention on Climate Chante (UNFCCC)	3/97	UNDP	$0.27	$0.27	Enabling Activities
Papua New Guinea	Papua New Guinea GHG Enabling Activity	4/96	UNDP	$0.35	$0.35	The project will enable PNG to meet its reporting obligation under the UN Framework Convention on Climate Change, leading to their National Communication as required under Article 12.
Seychelles	Enabling Seychelles to Prepare its First National Communication in Response to its Commitments to UNFCCC	6/96	UNDP	$0.25	$0.25	The goal of the project is to prepare and consolidate a Climate Change Strategic Plan for the Seychelles to help the country develop actions on climate change impacts within the UNFCCC framework. Considering that the Seychelles is a low lying island nation which could be greatly affected by climate change, primary importance will be given to a vulnerability assessment.
Sierra Leone	Enabling Sierra Leone to Prepare its First Communication in Response to its Commitments to the UNFCCC	9/4/96	UNDP	$0.31	$0.31	The objective of the project is to support Sierra Leone to fulfill its initial obligation to the UNFCCC through improved technical capacity, institutional strengthening and increased public awareness of climate change related issues. At the completion of the project, Sierra Leone will be able to prepare its first national communications to the COP as stipulated by the Convention.
Sri Lanka	Sri Lanka National GHG Inventory and Response to the Framework Convention on Climate Change Project	3/97	UNDP	$0.11	$0.11	Enabling Activities

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Country	Project Name	Entry [1] into WP	GEF IA	GEF [2] Allocation	Total [2] Costs	Project Description
Sudan	Capacity Building to Enable the Sudan's Response and Communications to the UNFCCC.	5/95	UNDP	$0.29	$0.29	This project will build capacity, prepare Sudan's first communications, and provide technical assistance in Sudan to respond to the UNFCCC. It will enhance institutional networks, develop GHG inventory assessments, train personnel, establish policy dialogues, evaluate and develop climate change mitigation initiatives. It will also emphasize the intersection of climate change issues with land degradation issues in Sudan.
Swaziland	Enabling Activities for the Implementation of teh United Nations Framework Convention on Climate Change	3/97	UNDP	$0.26	$0.26	Enabling Activities
Togo	Enabling Activities	6/97	UNDP	$0.34	$0.34	Enabling Activities
Tunisia	GHG Inventory: National Strategy and Action Plans for Emission Reduction and Communications under the UNFCCC	5/95	UNDP	$0.57	$0.67	The project will build capacity in Tunisia to respond to the UNFCCC by undertaking and updating GHG inventory assessments of sources and sinks, preparing a national strategy and sectoral action plans, training of personnel, establishment of policy dialogues, evaluation of climate change mitigation initiatives, and scientific evaluation of impacts of sea level rise and the elaboration of response and adaptation strategy.
Turkmenstan	Enabling Activities	6/97	UNDP	$0.35	$0.35	Enabling Activities
Uganda	Enabling Uganda to Prepare its First National Communication in Response to its Commitments to UNFCCC	6/96	UNDP	$0.08	$0.08	The project objectives will include the integration of climate change concerns and measures into planning processes and programmes; the development of consensus and support for priority mitigation and adaptation measures; the design of implementation strategies for priority measures; the preparation of Uganda's communiction to the Conference of the Parties; and the development of a plan to achieve specific mitigation or adaptation goals.
Uruguay	Institutional Strengthening and Enabling Activities to Comply with the UN Framework Convention on Climate Change.	2/95	UNDP	$0.70	$0.70	The objective is to strengthen the capacities of the Government to comply with its obligations under the UNFCCC. This two-phase project is aimed at reducing emissions of greenhouse gases in Uruguay. The first phase will provide information and establish the technical capacity to support the development and execution of investment activities. The second phase is to reduce overall greenhouse gas emissions. The project will help prepare the national communications to the COP.

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Country	Project Name	Entry[1] into WP	GEF IA	GEF[2] Allocation	Total[2] Costs	Project Description
Uzbekistan	Country Study on Climate Change	10/95	UNDP	$0.33	$0.33	The objectives of the project are to prepare the national communication of Uzbekistan to the CoP. It will build in-country capacity to fulfill its commitments to the Convention on a continual basis and endogenous capacity to establish a basis for additional obligations. It will enhance general awareness. It will develop an institutional mechanism, framework to facilitate dialogue, information exchange.
Yemen	Enabling Yemen to prepare its first national communication to the UNFCCC	5/19/97	UNDP	$0.20	$0.20	Enabling Activities
Zambia	Enabling Activities	4/24/97	UNEP	$0.26	$0.26	Enabling Activities
Zimbabwe	Preparation of Initial National Communication for the Implementation of the UN Framework Convention on Climate Change	2/97	UNEP	$0.10	$0.12	The goal of this project is to support the completion of an initial national communication for Zimbabwe.
				$28.60	$29.57	

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Country	Project Name	Entry [1] into WP	GEF IA	GEF [2] Allocation	Total [2] Costs	Project Description
			III. List of Approved Project Proposals			
*Global	Global Change System for Analysis, Research & Training (START)	5/92	UNDP	$7.00	$7.00	START is a system of regional research networks being developed by scientific organizations to build capacity in the climate change field, collect and analyze regional data, and incorporate this data into global modeling efforts. This project focuses on Southeast Asia and Northern Africa as pilot regions for developing region-specific methodologies, establishing regional networks for global change research, and laying the foundation for regional research centres.
*Global	Alternatives to Slash & Burn Agriculture (ASB), Phase II	5/95	UNDP	$3.00	$6.37	The long term goal of this project is to reduce global warming, conserve biodiversity and alleviate poverty in the tropical forest margins by promoting the development of alternatives to slash-and-burn agriculture that are ecologically sound, economically viable and culturally acceptable.
*Global	Alternatives to Slash and Burn	2/92	UNDP	$3.00	$7.50	A joint effort by institutions at eight benchmark sites, this project seeks to expand knowledge of sustainable alternatives to slash and burn agriculture. Activities include standardizing methodologies, assessing biophysical and socio-economic characteristics, enhancing scientists' capacity, analyzing the impact of slash and burn, and increasing international awareness of alternatives.
*Global	Renewable Energy and Energy Efficiency Fund	4/1/96	WB/IFC	$30.00	$240.00	Project will provide grant funds to a separate $100-200 million Fund being established by IFC & other commercial investors. The Fund will invest in private sector projects & companies in grid-connected and off-grid renewable energy and energy efficiency. The GEF grant will be used (1) to pay incremental costs associated with higher-than-average fund mgt. costs arising from small project sizes, and (2) to help overcome incremental costs and risks in the financing of individual projects through a co-financing facility.
*Global	Climate Change Capacity Building (CC: TRAIN - Phase I)	5/93	UNDP	$0.90	$0.90	Tree objectives of the project are a) enhance the capacity of each of the participating countries to implement the Convention by facilitating the establishment of a national institution and process for the development of a strategy to implement the Convention; b) enhance the capacity of four regional partner institutions to play the role in carrying out the first objective; c) create a training network to allow the sharing of training resources developed by other programmes and institutions.

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Country	Project Name	Entry[1] into WP	GEF IA	GEF[2] Allocation	Total[2] Costs	Project Description
*Global	Research Programme on Methane Emissions from Rice Fields	5/91	UNDP	$5.00	$5.00	Project seeks to quantify impact of different rice growing ecosystems on methane emission and improve knowledge of processes that control methane fluxes from flooded rice. Promising mitigation options will be evaluated in collaboration with developing countries and farmers, and experiences will be shared among project participants.
*Global	Monitoring of GHG Including Ozone	5/91	UNDP	$4.80	$6.00	This project establishes key stations where data needed for scientific assessment can be collected and analyzed. Activities include surveying potential sites, arranging means of local collaboration, facilitating construction, procuring equipment, training staff, evaluating data, and providing data to world knowledge bases.
*Global	Economics of GHG Limitation - Phase I	2/95	UNEP	$3.00	$3.27	The project includes eight national and two regional studies in parallel with the development of a methodological framework for the economics of climate change mitigation. The methodological framework comprises a common analytical structure, economic concepts and technical assumptions for sectoral and cross-sectoral assessment of mitigation options.
*Global	Capacity Building and Infrastructure: Participation in the Assessment, Methodology-Development and other Activities of the Intergovernmental Panel on Climate Change (IPCC)	6/94	UNEP	$2.80	$5.70	The project aims to enhance and strengthen scientific and technical capacity of developing countries and countries with economies in transition through their experts' participation in IPCC activities, primarily in (i) the actual writing of the IPCC assessment reports; (ii) IPCC workshops involving both (a) scientific and technical data; and (b) training in various IPCC methodologies; (iii) summarizing the findings of the assessment reports into Executive Summaries and Summaries for Policy-makers.
*Global, Antigua and Barbuda, Cameroon, Estonia, Pakistan	Country Case Studies on Climate Change Impacts and Adaptations Assessment - Phase I	2/95	UNEP	$2.00	$2.00	The objective of the project is to test and improve methodologies and guidelines for assessing climate change impacts and adaptation, it will support stage I adaptations measures as approved by COP-1 of the UNFCCC.

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Country	Project Name	Entry[1] into WP	GEF IA	GEF[2] Allocation	Total[2] Costs	Project Description
*Global, Costa Rica, Gambia, Mexico, Morocco, Poland, Senegal, Tanzania, Uganda, Venezuela	Country Case Studies on Sources and Sinks of Greenhouse Gases	12/91	UNEP	$4.50	$4.59	The project provides direct operational and financial support for development of a standard methodology that Parties to the UNFCCC may use to develop national GHG inventories. Development of national GHG inventories in 11 countries, and support for 4 regional GHG inventory methodology workshops.
*Global, Kenya, India, Morocco	Photovoltaic Market Transformation Initiative	10/1/96	WB/IFC	$30.00	$120.00	PVMTI will make grant and non-grant investments to country-based companies on a competitive basis for the most innovative and promising proposals for large-scale expansion of the market for & use of photovoltaics, esp. for rural electrification. Private sector project selection and mgt. will stimulate effective, sustainable PV ventures by catalyzing competition and stimulating formation of joint ventures at the country & international levels in market development and/or manufacturing, employing and/or pioneering a variety of financing modalities, and promoting public-private partnerships.
*Regional, Algeria, Morocco, Tunisia, Libya	Building Capacity in the Maghreb to Respond to the Challenges and Opportunities Created by National Response to UNFCCC	5/93	UNDP	$2.50	$2.50	Project takes regional approach to increasing capacity for meeting UN Framework Convention on Climate Change objectives, focusing initially on the Maghreb. Identifies and strengthens capacities of selected regional and sub-regional organizations, develops indigenous capacity to independently identify cost-effective greenhouse gas strategies, seeks to leverage private sector investments, and builds on national programs to develop data of greenhouse gas sources and sinks.
*Regional, Bangladesh, China, DPRK, India, Indonesia, Mongolia, Myanmar, Pakistan, Philippines, Thailand, Vietnam	Asia Least-Cost GHG Abatement Strategy (ALGAS) Project	12/91	UNDP	$9.50	$13.00	The project's objective is to limit the growth of GHG emissions from Asia and to build a substantial pool of expertise in the region for addressing climate change. Expertise will be developed in areas such as estimation and measurement of GHGs, identification of technologies and initiatives for reducing GHGs, and economic and social analyses for identifying cost-effective mitigation options, GHG abatement initiatives and develop/implement least cost abatement strategies.

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Country	Project Name	Entry[1] into WP	GEF IA	GEF[2] Allocation	Total[2] Costs	Project Description
*Regional, Cote d'Ivoire, Senegal	Control of Greenhouse Gas Emissions through Energy Efficient Building Technology in West Africa	12/92	UNDP	$3.50	$4.50	Project meets rapidly increasing demand for power through urban-based energy efficiency, cooperating with African Development Bank. Features retrofit of existing buildings in Cote d'Ivoire and Senegal, workshops for countries throughout region, and building of human capacity to address issues such as evaluation of building materials and energy pricing and planning.
*Regional, Egypt and Palestinian Authority	Energy Efficiency Improvements and Greenhouse Reduction	4/97	UNDP	$6.36	$8.10	This project covers three components: i) Loss reduction, load shifting and load management; ii) Energy Conservation and Engineering Services support to Energy Service Companies; and iii)Cogenerated power. The Palestinian component will only address energy conservation and engineering service support
*Regional, Ghana, Kenya, Mali, Zimbabwe	Building Capacity in Sub-Saharan Africa to Respond to the UNFCCC on Climate Change	12/92	UNDP	$2.00	$2.00	Project launches a systematic inventory of Africa's greenhouse gas sources and sinks, develops Africa's indigenous capacity to carry out studies and projects, identifies carbon offset projects in energy and forestry sectors, and seeks to procure private sector resources for some of these initiatives. Small set of pre- proposals developed through project will be selected for final documentation in each country
Benin	Village-Based Management of Woody Savanna and the Establishment of Woodlots for Carbon Sequestration	12/92	UNDP	$2.50	$2.50	Formulation of land development plans and implementation of training, conservation and forestry activities to sequester carbon. Project emphasizes local participation in sensitizing communities about land degradation and in jointly identifying possible solutions.
Bolivia	Renewable Energy Based Rural Electrification Under the Popular Participation Law	4/97	UNDP	$4.21	$8.50	The overall project objective is to remove barriers to the successful implementation of rural electrification projects using renewable energy technology.
Brazil	Biomass Integrated Gasification/Gas Turbine Project	12/2/91	UNDP	$8.12	$8.12	Adaptation of promising technology to generate electricity through plantation-grown fuel. Project resolves important engineering, economic, and financial issues, and assesses commercial feasibility and environmental compatibility of demonstration plant, which would be constructed in follow-on phase
Brazil	Biomass Power Generation	4/96	UNDP	$3.75	$6.52	To determine available volumes, quality and cost of bagasse/ trash biomass for potential use in BIG/GT systems.

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Country	Project Name	Entry[1] into WP	GEF IA	GEF[2] Allocation	Total[2] Costs	Project Description
Bulgaria	Energy Efficiency Strategy to Mitigate Greenhouse Gas Emissions	10/10/96	UNDP	$2.58	$4.18	The proposal is targeted at overcoming barriers to increased energy efficiency and the associated reduction in GHG emissions, by focused, practical subprojects, organised into three elements: national capacity building; supporting demonstrations; and project management.
Chile	Reduction of Greenhouse Gas Emissions	12/92	UNDP	$1.70	$1.70	Project targets two major mining facilities (one private, one public) to test/demonstrate energy service sub-companies, whose profits are tied to the level of energy savings they help clients realize.
China	Energy Conservation and Pollution Control in Town and Village Enterprises.	2/95	UNDP	$1.00	$1.00	The objective of the project is to raise the energy efficiency of the rural industrial sector in China by selecting several key Township and Village Enterprises (TVE) to carry out demonstration projects. Because their greenhouse gas emissions accounted for 54.2% of the total carbon dioxide emissions of TVEs, four subsectors were targeted for participation in this programme: brickmaking, coking, metal casting and cement.
China	Efficient Industrial Boilers	4/1/96	WB	$32.81	$101.38	This project will reduce greenhouse gas emissions by adapting high efficiency foreign technologies to local conditions for small and medium-sized, coal-fired industrial boilers. To assist the dissemination and effective use of efficient technologies, the project will also strengthen China's industrial-boiler engineering, operations, production management and marketing capabilities, and improve boiler technology exchange domestically.
China	Capacity Building for the Rapid Commercialization of Renewable Energy	4/97	UNDP	$8.83	$27.65	The global environmental objective of the project is to reduce CO2 emissions by beginning the process of replacing fossil fuels with the use of renewable energy sources.
China	Promoting Methane Recovery and Utilization from Mixed Municipal Refuse	4/96	UNDP	$5.29	$19.57	The project's objectives are to promote wide spread adoption of landfill gas recovery technology in China based on the technical and organizational experience gained from the three pilot landfills proposed in this project. Project includes (1) significant reduction of emissions of methane, a greenhouse gas; (2) reduction in air, water and land pollution associated with refuse dumping; and (3) promotion of indigenous enterprises that will build and operate recovery systems and utilize the energy.
China	Issues and Options in GHG Emissions Control	5/91	UNDP	$2.00	$2.00	Project assessed greenhouse gas emissions, formulated emission reduction plan, and presented detailed case studies and feasibility assessments in priority sectors. Project is operationally completed. The GHG options report is a framework for identifying new GEF climate change project interventions in China.

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Country	Project Name	Entry [1] into WP	GEF IA	GEF [2] Allocation	Total [2] Costs	Project Description
China	Energy Conservation	4/97	WB	$22.00	$180.00	The project will support the establishment, pilot testing and commercial demonstration of market-oriented Energy Management Companies that will promote investments in energy-efficiency technology through energy performance contracting.
China	Sichuan Gas Transmission and Distribution Rehabilitation	4/1/92	WB	$10.00	$122.70	Rehabilitation of gas transmission and distribution systems to eliminate methane gas losses and improve pipeline network performance. Main components will focus on safety and operational efficiency of the transmission and distribution system, and selection of cost effective measures to reduce gas leakages through a program of environmental upgrades.
China	Development of Coal-Bed Methane Resources in China	5/91	UNDP	$10.00	$10.00	Implemented at three mining sites, project supports assessment of China's methane resources and potential for using methane gas as domestic energy source. Also supports pilot investments to improve technologies and techniques for resource assessment as well as methane recovery from coal mines and its utilization.
Costa Rica	Tejona Wind Power	12/1/92	WB/IDB	$3.30	$31.30	The project will consist of installing a sufficient number of wind turbines (between 40-100 units) to generate 20 MW at Tejona, near Lake Arenal. In addition to the wind turbines, the project would add a control center for the wind power plant and a connection to the power grid. Through this project, wind power will displace thermal power plants that would otherwise have been built and thereby reduce CO2 emissions by approximately 60,000 tons per year.
Czech Republic	Kyjov Waste Heat Utilization	4/97	WB	$5.09	$13.97	The project will demonstrate a gas-fired, combined cycle cogeneration system at Vetropak Moravian Glass, a bottle manufacturing factory. It replaces a system producing significant waste heat with one where part of the waste heat will be recycled to produce electricity for the factory.
Ghana	Renewable Energy-based Electricity for Rural Social and Economic Development in Ghana	10/10/96	UNDP	$2.47	$2.57	Ghana is expanding its thermal power generation due to the limitations of the existing hydropower facilities. Thermal power from fuel oil will be the marginal source of electricity for rural electrification. The project will facilitate the widespread sustainable use of low-carbon renewable energy-based electricity supply technologies to meet electricity needs in the more than 3,000 presently unelectrified communities.

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Hungary	Energy-Efficiency Co-Financing Program	4/1/96	WB/IFC	$5.00	$25.00	To overcome critical financing barriers to investments in energy efficiency (EE) in Hungary and to promote local EE markets and capacity, the project will create an EE co-financing program to facilitate and leverage private sector capital for EE investments. In addition, it will provide partial credit guarantees, whereby funds would be reserved to cover the guarantee liability, and medium- to long-term co-financing loans, targeting three subsectors: lighting, district heating and industrial motors and processes.
India	Cost-Effective Options for Limiting Greenhouse Gas Emissions	5/93	UNDP	$1.50	$1.50	Assistance to government in assessing specific investment projects and related institutional and policy options for limiting greenhouse gas emissions. Project also identifies and strengthens India's institutional, technical, and technological capabilities to assess global implications of energy efficiency and other projects which affect emission levels.
India	Development of High Rate BioMethanation Processes as Means of Reducing Greenhouse Gas Emissions	5/92	UNDP	$5.50	$5.50	Project develops national master plan for generation and utilization of bioenergy, creates commercially viable packages for replication, and promotes and disseminates technology for high-rate biomethanation. Project will introduce, demonstrate, and standardize a wide variety of cost-effective technologies.
India	Solar Thermal-Electric	4/1/96	WB	$49.00	$245.00	The GEF will finance the incremental costs of construction and operation, by the private sector, of a grid-connected, 140MW solar-thermal fossil-fuel hybrid power plant in Rajasthan, incorporating a parabolic trough solar thermal field of about 35-40MW. The plant would demonstrate the operational viability of solar trough technology and its use by an independent power producer with commercial sales and delivery arrangements with the grid.
India	Optimizing Development of Small Hydel Resources in the Hilly Regions	12/91	UNDP	$7.50	$15.00	Project designed to assist the Government of India in the optimal utilization of small hydel resources in the Himalayan and sub-Himalayan regions through the development of a master plan and through setting up of 20 commercially-viable small hydel demonstration projects and by upgrading the institutional and human resource capabilities from the national to local levels.
India	Alternate Energy	12/1/91	WB	$26.00	$186.00	Project promotes and commercializes investment in wind farms and solar photovoltaic power systems through the provision of below-market loans to investors in these systems, primarily from the private sector. Popularizes renewable technologies through public education programs that explain their functions and capacity. Implementation is overseen by the Indian Renewable Energy Development Agency, which is benefitting from capacity-building assistance.

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Indonesia	Solar Home Systems (SHS)	10/1/95	WB	$24.30	$118.10	The project will catalyze rapid market acceptance of Solar PV Home Systems within the framework of a least-cost rural electrification strategy, relying on private sector delivery/installation systems. The project will support the installation of about 200,000 such systems in up to 4 regional markets. The project will also develop a strategy and corresponding action plan to meet the modern energy needs of the rural population for whom solar PV systems represent the least-cost alternative.
Indonesia	Eastern Indonesia Renewable Energy Development (EIRED)	10/1/95	WB	$2.00	$58.80	This project will finance about ten mini-hydro projects and one mini-geothermal project to displace high-cost, isolated diesel power generation operations in remote areas of eastern Indonesia. The project will provide technical assistance to PLN strengthen its capacity to mainstream renewable energy development into its operations.
Indonesia	Renewable Energy Small Private Power (RESPP)	10/1/95	WB	$4.00	$141.00	This project will catalyze the penetration of private sector, grid-based renewable energy projects into the National Power Company's (PLN) network within the framework of a least-cost electrification strategy. An identified pipeline of about 75 MW of small renewable projects, primarily biomass, sugar and and palm oil mills, and some mini-hydro, will be targeted by the project. Technical assistance will be provided to private project developers.
Iran	Teheran Transport Emissions Reduction	4/1/92	WB	$2.00	$4.00	The study will identify least-cost short and long-term options for reducing vehicular emissions in Tehran, based on an analysis of policy and technology constraints, and will suggest specific actions which could be taken to overcome those constraints.
Jamaica	Demand Side Management Demonstration	5/1/93	WB	$3.80	$12.50	Strengthening of the institutional capabilities of Jamaica Public Service Company (JPSCo), and implementation of an integrated approach to energy conservation. JPSCo. will acquire the necessary information and data to develop sustainable programs that overcome market barriers to energy conservation. Mechanisms to address these barriers will be tested, and evaluation results will be used to design full scale sustainable long-term energy efficiency programs.
Jordan	Reduction of Methane Emissions	4/96	UNDP	$2.50	$4.00	The goal of the project is to reduce emissions of greenhouse gases in Jordan by substituting bioenergy (methane gas and electricity), produced from anaerobic digestion of industrial and municipal waste in Amman, for fossil fuels. The project's main activities include a combination of a landfill operation and a biogas plant. Although such a combination is logical in many respects, it has never been demonstrated in a developing country.

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Latvia	Solid Waste Management and Landfill Gas Recovery	3/1/97	WB	$5.12	$25.00	To harness methane for electricity production that otherwise would have been emitted to the atmosphere, as well as to assist the management of solid waste around Riga, the project will remediate the existing Getlini landfill in Riga, install an advanced energy-cell technology for enhanced degradation of biodegradable waste, and collect landfill gas and use it for power generation. In addition, the project will establish a sorting line for separation of recyclable materials.
Lithuania	Klaipeda Geothermal Demonstration	5/4/95	WB	$6.90	$18.02	This project helps to finance construction of a demonstration geothermal plant to provide hot water to the Klaipeda district heating system, as well as modifications to the heating system to render it compatible with geothermally heated water. It will reduce annual CO2 emissions by an estimated 56,000 tons, and reduce SO2, NOx and TPM emissions significantly too.
Mali	Household Energy	12/1/92	WB	$2.50	$11.10	The project addresses both the demand for and supply of household energy in a country where people depend heavily on environmentally-damaging woodfuels. Consumption of these fuels will be reduced by promoting the use of more efficient stoves and through substituting woodfuels with kerosene and bottled gas through technical assistance and credit to manufacturers and marketers. In parallel, forest planning and management will be strengthened through training and technical assistance.
Mauritania	Decentralized Wind Electric Power for Social and Economic Development	12/92	UNDP	$2.00	$4.00	Project demonstrates potential for using wind electric generators to support off-grid delivery of essential electricity-based services in rural areas. Includes support for private sector activities in this field and substantial dissemination to address growing demand for power by rural communities.
Mauritius	Sugar Bio-Energy Technology	5/1/91	WB	$3.30	$55.10	Development and testing of technologies for gathering, storing and using sugar cane tops, leaves and residues as fuel to expand power generation by existing sugar mills. Assessing options for reducing the cost of bagasse transport and thereby also expanding its use as a generating fuel. Providing technical assistance to a Bagasse Energy Development Program coordinated by the Mauritius which will develop a program to tap the long-term potential of power generation from sugar cane waste.
Mexico	High Efficiency Lighting Pilot	12/1/91	WB	$10.00	$23.00	The project will reduce greenhouse gas emissions as well as local environmental contamination through the replacement of incandescent bulbs with fluorescent light bulbs in two major markets. Guadalajara and Monterrey. Project will also work to increase institutional capacity for technological change and energy conservation, and strengthen the Federal Electricity Commission (CFE) and its capacity to practice demand side management on a sustainable basis.

1) Date work program approved by Council for long-term operations and short-term measures; for enabling activities date of CEO approval.

2) In US$ millions.

Country	Project Name	Entry[1] into WP	GEF IA	GEF[2] Allocation	Total[2] Costs	Project Description
Morocco	Repowering of Power Plant	12/1/92	WB	$6.00	$45.70	Repowering of an existing plant with a second generation advanced combustion turbine, together with improvements in the quality of the materials and enhancement of the scheme's performance in the power generating system of Morocco. Close monitoring of the project's impact and careful analysis of the findings will help determine its wider applicability for use throughout the country.
Pakistan	Fuel Efficiency in the Road Transport Sector	5/92	UNDP	$7.00	$7.00	Project seeks to reduce emissions through improving vehicles' fuel efficiency and urban infrastructure, based on well-known methods which Pakistan does not currently have capacity to implement. Builds capacity of officials to review transport options, expands pilot project to tune-up urban vehicles, evaluates ongoing programs, and develops options with regard to technology transfer, regulations, and pricing.
Pakistan	Waste-to-Energy: Lahore Landfill Gas Recovery and Use	4/1/92	WB	$11.00	$26.00	Design and construction of a privately-managed power station fueled by methane gas that would otherwise be released to the atmosphere, collected from an urban landfill. This project will transfer a technology developed and proven in wealthy countries to a developing country and test the feasibility of its application in that setting.
Peru	Technical Assistance to the Centre for Energy Conservation	12/91	UNDP	$0.90	$0.90	The project was designed to strengthen CENERGIA (NGO) to become a fully-functioning regional training centre, for the provision of energy efficiency measures and services to leading productive sectors. Project activities involved the establishment of an "emission control programme" training workshops, study tours, energy audits, and will develop program of emissions control for Lima.
Philippines	Leyte-Luzon Geothermal	5/1/91	WB	$30.00	$1,333.60	Project seeks to assist in meeting the rapidly increasing demand for electrical power using technology that substantially reduces greenhouse gas (GHG) emissions. The National Power Corporation (NPC) components of the project include the interconnection of electrical power systems of Leyte and Luzon Islands and the strengthening of the environmental and social engineering departments of NPC.
Poland	Coal-to-Gas Project	12/1/91	WB	$25.00	$48.32	The project expects to demonstrate interfuel substitution and technological innovation as a means of reducing CO2 emissions. GEF funds will be used to extend coal-to-gas conversions to medium-size boilers whose owners could not achieve acceptable financial rates of return without concessional financing.

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2) In US$ millions.

Country	Project Name	Entry [1] into WP	GEF IA	GEF [2] Allocation	Total [2] Costs	Project Description
Poland	Efficient Lighting Project (PELP)	12/1/94	WB/IFC	$5.00	$5.00	Through the IFC, direct subsidies have been competitively awarded to domestic manufacturers of qualified compact fluorescent lighting (CFLs). Manufacturers and wholesalers will be required to pass on full savings on to retailers. This has sparked demand for CFLs in Poland, demonstrating the financial and commercial benefits of energy-efficient lighting and resulting in large power savings and reduced emissions from coal-fired generation plants.
Romania	Capacity Building for GHG Emissions Reduction through Energy Efficiency	10/95	UNDP	$2.27	$6.48	The objective of this project is to assist Romania in reducing the long-term growth of GHG emissions from heat and power generation plants and from the consumption of fossil fuel sources in the main sectors of energy demand. The project will assist in developing self-sustaining national capability for the continuous improvement of energy efficiency.
Russian Federation	Greenhouse Gas Reduction	12/1/92	WB	$3.20	$130.90	This project will develop analytical techniques to identify and quantify the principal sources of greenhouse gas emissions in the production, transport and utilization of natural gas. It will also develop methodologies for ranking the most cost-effective projects for reducing GHG emissions, define the criteria for asessing eligibility and incremental costs, and strengthen the institutional structures and the technical capabilities required to apply the techniques in planning and implementation.
Russian Federation	Capacity Building to Reduce Key Barriers to Energy Efficiency in Russian Residential Buildings and Heat Supply	10/10/96	UNDP	$2.98	$5.59	The proposal addresses three key activities in the city of Vladimir: institutional changes that create incentives for greater energy efficiency and energy conservation; greater penetration of autonomous sources of heat; and the capacity to analyse the financial and economic aspects and feasibility of capital investment projects for commercial and multi-lateral financing.
Senegal	Sustainable and Participatory Energy Management	4/1/96	WB	$4.70	$18.90	Participatory, community-forest sustainable management systems in a 300,000 ha zone surrounding Niokolo-Koba National Park will be phased in over a 7-year period with the primary objectives of carbon sequestration and local income enhancement, and secondary biodiversity conservation benefits. A demand mangement and fuel substitution component will promote substitution of kerosene and liquid petroleum gas for charcoal, and disseminate efficient charcoal stoves.

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2) In US$ millions.

Country	Project Name	Entry [1] into WP	GEF IA	GEF [2] Allocation	Total [2] Costs	Project Description
Sri Lanka	Energy Services Delivery	4/1/96	WB	$5.90	$52.40	This project will encourage participation of the private sector, NGOs and cooperatives in the provision grid and off-grid energy services, and strengthen the public and private institutional capacity to deliver energy services through renewable energy technologies and demand-side management (DSM). Its specific components will be (a) a private sector renewable energy fund to support pre-grid, PV electrification, mini-hydro schemes and other renewable energy sources; (b) a pilot grid-connected wind farm (3MW); and (c) technical assistance for the use of renewable energy in residential and commercial sectors.
Sri Lanka	Renewable Energy and Capacity Building	4/96	UNDP	$1.51	$1.91	The project objective is to remove barriers to the expanded and sustainable utilization of renewable energy in Sri Lanka. The project will facilitate and accelerate the use of renewable energy technologies and energy efficiency measures in Sri Lanka thus reducing the need for additional fossil fuel thermal power stations and greenhouse gas (GHG) production (carbon dioxide) associated with fossil fuel power stations and the decentralized use of kerosene and woodfuel.
Sudan	Community Based Rangeland Rehabilitation for Carbon Sequestration and Biodiversity	12/92	UNDP	$1.50	$1.50	Carbon sequestration and biodiversity conservation in region where drought and overgrazing have had drastic effects. Project develops and implements community-based land use and range management master plans, revegetates economically-sensitive areas, and tests several new techniques to rehabilitate rangeland.
Syria	Syria: Supply-side Efficiency and Energy Conservation and Planning	10/10/96	UNDP	$4.07	$29.86	This project has two components. First - supply-side intervention where the government rehabilitates an old power plant so that GEF can implement efficiency control measures. The second component has industrial demand side management and integrated resource planning.
Tanzania	Electricity, Fuel and Fertilizer from Municipal and Industrial Organic Waste in Tanzania: A Demonstration of Biogas Plant for Africa	5/93	UNDP	$2.50	$3.90	Project establishes Africa's first large-scale biogas plant, converting methane produced by municipal waste into energy. With increased indigenous interest and capacity resulting from project, plant is to operate as independent profit centre capable of reinvesting profits in replication.
Thailand	Promotion of Electricity Energy Efficiency	12/1/91	WB	$9.50	$89.00	Project comprises a five year demand side management plan, which seeks to build institutional capability in the Thai electric power sector and throughout the economy. Will pursue policies and actions leading to the development, manufacturing, and adoption of energy efficient equipment and processes. Project will demonstrate potential savings, both financial and environmental.

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2) In US$ millions.

Country	Project Name	Entry[1] into WP	GEF IA	GEF[2] Allocation	Total[2] Costs	Project Description
Tunisia	Solar Water Heating	5/1/93	WB	$4.00	$20.90	The project will promote the commercialization of solar water heating technology in the residential and tertiary sectors by conditioning the market for sustained penetration of the technology as a least-cost alternative under competitive market conditions.
Uganda	Photovoltaics for Rural Electrification	10/95	UNDP	$1.76	$1.76	The overall and long-term objective of the pilot project is to lay a firm foundation for the sustainable dissemination and use of solar photovoltaic systems in those rural areas that cannot be accessed by the national electric grid, while at the same time contributing to the curbing of greenhouse gas emissions from the use of kerosene and diesel generators.
Zimbabwe	Photovoltaics for Household and Community Use	5/91	UNDP	$7.00	$7.00	Project expands rural use of photovoltaics (PV) while assessing the technology and approaches to its promotion, providing a model for other African countries' efforts at off-grid electrification. Includes efforts to develop indigenous PV businesses, cooperation with national utility, and analysis of national policies including import duties.
				$544.21	**$3,771.32**	
Grand Total				**$578.83**	**$3,810.87**	

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2) In US$ millions.

ANNEX C

LIST OF STATES PARTICIPATING IN THE GEF
(AS OF JUNE 1997 – TOTAL 161)

List of States Participating in the GEF

(As of May 1997 - Total 161)

Afghanistan	04/07/94
Albania	05/06/94
Algeria	05/13/94
Antigua & Barbuda	03/29/94
Argentina	05/12/94
Armenia	06/16/94
Australia	06/27/94
Austria	06/21/94
Azerbaijan	07/24/95
Bahamas	04/19/94
Bangladesh	06/22/94
Barbados	05/13/94
Belarus	03/30/94
Belgium	01/30/95
Belize	04/29/94
Benin	06/29/94
Bhutan	12/12/95
Bolivia	06/17/94
Botswana	07/12/94
Brazil	06/13/94
Bulgaria	03/22/94
Burkina Faso	08/24/94
Cambodia	01/31/95
Cameroon	10/31/94
Canada	07/06/94
CapeVerde	07/18/94
Central African Republic	03/23/95
Chad	07/27/94
Chile	07/01/94
China	05/16/94
Colombia	06/28/94
Comoros	09/05/95
Congo, Dem. Republic of	02/06/97
Congo, Republic of	09/22/95
CookIslands	05/06/94
Costa Rica	05/19/94
Cote d'Ivoire	06/24/94

Cuba	04/04/94
Croatia	03/04/94
Czech Republic	06/30/94
Denmark	06/09/94
Djibouti	05/24/94
Dominica	06/08/94
Dominican Republic	04/21/94
Ecuador	06/23/94
Egypt	06/08/94
El Salvador	05/20/94
Eritrea	12/27/95
Estonia	05/12/94
Ethiopia	10/27/94
Fiji	05/10/94
Finland	06/09/94
France	06/20/94
Gambia	08/16/94
Georgia	07/08/94
Germany	06/23/94
Ghana	01/16/97
Greece	05/11/94
Grenada	04/20/94
Guatemala	05/20/94
Guinea	10/17/94
Guyana	05/12/94
Haiti	05/10/94
Honduras	09/06/94
Hungary	06/22/94
India	05/12/94
Indonesia	06/29/94
Iran (I.R.)	05/25/94
Ireland	06/14/94
Israel	03/19/95
Italy	06/28/94
Jamaica	06/29/94
Japan	06/27/94
Jordan	05/10/94
Kenya	05/25/94
Kiribati	05/10/94
Korea (D.P.R.)	05/06/94
Korea (Rep.)	05/03/94
Kyrgyz	01/09/97
Lao (P.D.R.)	08/02/94

Latvia	06/27/94
Lebanon	07/21/94
Lesotho	06/29/94
Libya	12/13/94
Lithuania	05/13/94
Luxembourg	04/28/95
Madagascar	07/14/94
Malawi	02/23/96
Malaysia	05/04/94
Maldives	08/25/94
Mali	07/04/94
Malta	07/27/94
Marshall Islands	04/15/94
Mauritania	05/08/94
Mauritius	07/04/94
Mexico	05/17/94
Micronesia (F.S.)	04/26/94
Moldova	10/27/95
Mongolia	04/14/94
Morocco	06/29/94
Mozambique	12/27/95
Myanmar	05/13/94
Nauru	05/05/94
Nepal	08/10/94
Netherlands	06/20/94
New Zealand	05/18/94
Nicaragua	05/19/94
Niger	08/23/94
Nigeria	07/12/94
Niue	05/04/94
Norway	07/01/94
Pakistan	04/08/94
Panama	04/07/94
Papua New Guinea	05/06/94
Paraguay	02/15/95
Peru	06/14/94
Philippines	06/16/94
Poland	04/18/94
Portugal	06/17/94
Romania	07/29/94
Russian Federation	06/23/94
Saint Lucia	03/31/94
Saint Vincent & Grenadines	05/04/94

Samoa	03/28/94
Senegal	04/07/94
Sierra Leone	09/06/94
Slovak Republic	11/01/94
Slovenia	07/12/94
Solomon Islands	04/16/94
South Africa	07/06/94
Spain	06/09/94
Sri Lanka	05/26/94
St. Kitts and Nevis	07/25/94
Sudan	06/14/94
Suriname	05/12/94
Swaziland	05/16/94
Sweden	06/28/94
Switzerland	07/01/94
Syria	04/15/96
Tanzania	03/26/96
Thailand	06/30/94
The F.Y.R. of Macedonia	07/07/94
Togo	07/21/94
Tonga	05/04/94
Trinidad and Tobago	05/19/94
Tunisia	05/13/94
Turkey	07/06/94
Turkmenistan	05/29/97
Tuvalu	05/03/94
Uganda	06/28/94
Ukraine	06/15/94
United Kingdom	06/13/94
United States	06/24/94
Uruguay	04/22/94
Uzbekistan	04/05/95
Vanuatu	05/19/94
Venezuela	07/01/94
Vietnam	05/12/94
Yemen	03/30/94
Zambia	06/13/94
Zimbabwe	07/07/94

UNITED NATIONS

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Kyoto, 1-10 December 1997
Item 2 (e) of the provisional agenda

ORGANIZATIONAL MATTERS

ADMISSION OF ORGANIZATIONS AS OBSERVERS

Admission of observers: intergovernmental and non-governmental organizations

Note by the secretariat

1. The admission of intergovernmental and non-governmental organizations as observers is governed by Article 7.6 of the Convention, which provides, inter alia, that "any body or agency, whether national or international, governmental or non-governmental, which is qualified in matters covered by the Convention, and which has informed the secretariat of its wish to be represented at a session of the Conference of the Parties as an observer, may be so admitted unless at least one third of the Parties present object."

2. At its first session, the Conference of the Parties (COP), on the proposal of the President, agreed that the secretariat should invite to the future sessions of the Conference and of its subsidiary bodies all intergovernmental and non-governmental organizations admitted at that session and at future sessions, unless an objection was raised to any particular organization in accordance with the Convention and the rules of procedure (FCCC/CP/1995/7, para. 22). Consequently, all the organizations admitted to the first and second sessions have been invited to attend the third session, and the procedure for admission to the Conference of the Parties applies to new applicants only.

3. In this context, the secretariat has prepared a list of new applicant intergovernmental and non-governmental organizations that have expressed a wish to be admitted to COP 3 for consideration by the Conference at the start of the session. The list includes all new

applicant intergovernmental and non-governmental organizations that have requested and been accorded provisional admission to the work of the subsidiary bodies since COP 2. In drawing up the list, the secretariat has taken due account of the provisions of Article 7.6 and of the established practice whereby non-governmental organizations are required to furnish proof of their non-profit (tax-exempt) status in a State member of the United Nations or of a specialized agency or of the International Atomic Energy Agency.

4. During the October sessions of the subsidiary bodies, the COP Bureau considered the list of applicants and authorized the secretariat to advise all applicants of their "pre-admittance status", on the understanding that the final authority for the admission of observers rests with the COP.

5. The Bureau did not express any objection to any of the organizations listed in the annex to this note. It further recommended that the non-governmental organizations with an asterisk against their names in that list be admitted only to the third session of the Conference of the Parties (COP 3), provided that they be invited to re-apply after COP 3, should they wish to continue to participate in the Convention process.

6. In the light of the above, the Conference is invited, at its first plenary meeting, to admit as observers to the third session of the Conference of the Parties the non-governmental organizations which have an asterisk against their names in the list contained in the annex below and accord observer status to the intergovernmental and remaining non-governmental organizations in that list.

Annex

List of new applicant organizations having expressed their wish to be admitted as observers at COP 3

I. Intergovernmental organizations

1. Ad-hoc Group for Energy-Related Climate Issues
2. Asian Development Bank
3. Caribbean Community Secretariat (CARICOM)
4. Commission for Environmental Cooperation (CEC)
5. European Bank for Reconstruction and Development
6. European Conference of Ministers of Transport (ECMT)
7. Independent World Commission on Oceans
8. Latin American Energy Organization (OLADE)
9. Ramsar Convention on Wetlands
10. South Pacific Permanent Commission (CPPS)

II. Non-governmental organizations

1. A SEED Europe (Action for Solidarity, Equality, Environment and Development) Groebenzell, Germany
2. A SEED Japan, Tokyo, Japan*
3. AIESEC Hitotsubashi Local Committee, Tokyo, Japan*
4. Alliance Internationale de Tourisme Brussels, Belgium
5. American Society of International Law, Washington, USA
6. American Portland Cement Alliance, USA
7. Architectural Institute of Japan (AIJ), Tokyo, Japan*
8. Association of International Research Initiatives for Environment Studies (AIRIES), Tokyo, Japan*
9. Association pour la Recherche sur le Climat et l'Environnement (ARCE), Oran, Algeria
10. Association Tunisie Méditerranée Pour le Développement Durable, Tunis, Tunisia
11. Australian Coal Association, Sydney, Australia
12. Birdlife International, Cambridge, United Kingdom
13. Canadian Vehicle Manufacturers' Association (CVMA), Toronto, Canada
14. Canadian Global Change Program, Ottawa, Canada
15. CEDARENA (Environmental and Natural Resources Law Center) San Jose, Costa Rica
16. Centre for International Environmental Law (CIEL), Geneva, Switzerland
17. Centre for Energy Policy (CEP), Moscow, Russia
18. Centre International de Recherche sur l'Environnement et le Développement (CIRED), Paris, France
19. Centre for Sustainable Development in the Americas, Washington, USA
20. Citizens Environmental Foundation, Tokyo, Japan*

21. Citizens' Nuclear Information Center, Tokyo, Japan*
22. Clean Centre of Environment Shimada, Shimada, Japan*
23. Climate Institute, Washington, USA
24. Columbia University, Columbia, USA
25. Committee For a Constructive Tomorrow, Washington, USA
26. Competitive Enterprise Institute, Washington, USA
27. Confederacion Sindical de Comisiones Obreras (CC OO), Madrid, Spain
28. Construction, Forestry, Mining and Energy Union, Sydney, Australia
29. CREUMHS (The Cohort for Research on Environment, Urban Management and Human Settlement), Nairobi, Kenya
30. E & Co (An Energy Investment Service), Bloomfield, USA
31. Earth Science and Technology Association, Tokyo, Japan*
32. Earth Action, Massachusets, USA
33. Ecosystem Conservation Society, Tokyo, Japan*
34. Emilia Romagna Technological Development Agency (ASTER), Bologna, Italy
35. Environment Information Center, Tokyo, Japan*
36. Environmental Investigation Agency, London, United Kingdom
37. European Environmental Bureau (EEB), Brussels, Belgium
38. European Science and Environment Forum, London, United Kingdom
39. European Association for Solar Energy (EUROSOLAR), Bonn, Germany
40. Forum Atomique Européen/FORATOM, Brussels, Belgium
41. Franciscans International, New York, USA
42. Fraunhofer Society, Karlsruhe, Germany
43. Friends of the Earth Japan, Tokyo, Japan*
44. German Physical Society Working Group on Energy Issues, Overath, Germany
45. Global Network Class "Gakkos",Tokyo, Japan*
46. Global Environmental Action, Tokyo, Japan*
47. Global Environment Centre Foundation (GEC), Osaka, Japan*
48. Global Guardian Trust, Tokyo, Japan*
49. Global Environmental Forum - Kansai, Osaka, Japan
50. Globe Japan, Tokyo, Japan*
51. GMB- Britain's General Union, London, United Kingdom
52. Green Korea United, Seoul, Korea
53. Green City, Munich, Germany
54. Green Cross Japan, Saitama, Japan*
55. Green Earth Organization, Accra, Ghana
56. Green Fingers Society for Environment Protection, London, United Kingdom
57. GRIP Quebec - University of Montreal, Montreal, Canada
58. Harvard University, Harvard, USA
59. Industrial Union Department (IUD), AFL-CIO, Washington, USA
60. Information Agency of the German Power Plants (IZE), Frankfurt, Germany
61. Institute For Environmental Management (IEM), Palo Alto, California, USA
62. International NGO Forum for Ozone Layer Protection and Against Global Warming, Kobe City, Japan*
63. International Women's Year Liaison Group, Tokyo, Japan*

64. International Federation of Chemical, Energy, Mine and General Workers Union (ICEM) Brussels, Belgium
65. International Lake Environment Committee Foundation (ILEC), Kusatsu Shiga, Japan*
66. International Center for Environmental Technology Transfer (ICETT), Yokkaichi, Japan*
67. International Education Resource and Innovation Centre, Tokyo, Japan*
68. International Union of Public Transport (IUTP), Brussels, Belgium
69. International Society for Mangrove Ecosystems (ISME), Okinawa, Japan*
70. International Organization for Standardization (ISO), Geneva, Switzerland
71. International Council of Scientific Unions (ICSU), Paris, France
72. IWMC World Conservation Trust, Dunedin, USA
73. Japan Environment Corporation (JEC), Tokyo, Japan*
74. Japan Environmental Technology Association, Tokyo, Japan*
75. Japan Bicycle Promotion Institute, Tokyo, Japan*
76. Japan Center of International and Comparative Environmental Law, Tokyo, Japan*
77. Japan Association of Environment Assessment (JEAS), Tokyo, Japan*
78. Japan Gas Association, Tokyo, Japan*
79. Japan Environment Association, Tokyo, Japan*
80. Japan Automobile Federation (JAF), Tokyo, Japan*
81. Japan Save the Ozone Network, Gunma, Japan* (JASON)
82. Japan International Forestry Promotion and Cooperation Center (JIFPRO), Tokyo, Japan*
83. Japan Tropical Forest Action Network (JATAN), Tokyo, Japan*
84. Japan Atomic Industrial Forum, Inc., Tokyo, Japan*
85. Japanese Association of University Women, Toyota City, Japan*
86. Japanese Forum of Environmental Journalists, Tokyo, Japan*
87. JICHIRO (All Japan Prefectural and Municipal Workers Union), Tokyo, Japan*
88. Joint Institute for Energy and Environment, Knoxville, USA
89. KIKO FORUM 97, Kyoto, Japan*
90. Kitakyushu International Techno-Cooperative Association (KITA), Kitakyushu, Japan*
91. Korea Institute of Science & Technology Europe (KIST Europe), Saarbrücken, Germany
92. Kyoto University, Kyoto, Japan*
93. Kyoto Junior Chamber Inc., Kyoto, Japan*
94. Lancaster University, Lancaster, United Kingdom
95. Loss Prevention Council, Hertfordshire, United Kingdom
96. Maruia Society, Nelson, New Zealand
97. Midwest Research Institute/National Renewable Energy Laboratory, Colorado, USA
98. National Wildlife Federation, Washington, USA
99. National Association of State Fire Marshals, Washington, USA
100. Nature Conservation Society of Japan, Tokyo, Japan*
101. Netherlands Committee for IUCN, Amsterdam, The Netherlands
102. Netherlands Economic Institute, Rotterdam, The Netherlands
103. Nippon International Cooperation for Community Development (NICCO), Kyoto, Japan*
104. Nord-Süd Forum e.V./Global Cooperation Council, Bonn, Germany
105. Northwest Pacific Area Environmental Cooperation Center, Toyama, Japan*
106. Nuclear Energy Institute (NEI), Washington, USA
107. Oko Institut, (Institute for Applied Ecology), Darmstadt, Germany

108. Overseas Evaluation Cooperation Center (OECC), Tokyo, Japan*
109. Railway Technical Research Institute, Tokyo, Japan*
110. Real Link, Kyoto, Japan*
111. Redefining Progress, Washington, USA
112. Research Centre on Global Warming of the Japan Development Bank, Tokyo, Japan*
113. Research Institute of Innovative Technology for the Earth (RITE), Kyoto, Japan*
114. Research Institute for Environment and Society, Tokyo, Japan*
115. Resources for the Future, USA
116. Rockefeller Foundation, New York, USA
117. SAEI (SFC Alternative Energy Innovators), Fujisawa, Japan*
118. Saitama Forum for Environmental Education, Saitama, Japan*
119. Save the Earth! Action 97, Osaka, Japan*
120. Scientists for Global Responsibility, London, United Kingdom
121. Setogaku Kokusai Kaigi (Seto Identity Iternational Committee), Aichi, Japan*
122. Society of Electric Vehicle, Yokohama, Japan*
123. Solar Net, Tokyo, Japan*
124. SOROPTIMIST International of the Americas, Inc. of the Highashi Region, Tokyo, Japan*
125. Southern Research Institute, Birmingham, USA
126. Sovereignty International, Hollow Rock, USA
127. Technische Hochschule, Institute for Political Sciences-Darmstadt, Germany
128. TELLUS Institute, Boston, USA
129. Thailand Environment Institute, Bangkok, Thailand
130. The Interstate Natural Gas Association of America, Washington, USA
131. The Netherlands Energy Research Foundation, Petten, The Netherlands
132. The Swiss Federal Institute for Environmental Science & Technology/Human Ecology Group (EAWAG) Zurich, Switzerland
133. The David Suzuki Foundation, Vancouver, Canada
134. The Business Roundtable, Washington, USA
135. The Pacific Rim Consortium for Energy Combustion and the Environment, California, USA
136. The Federation of Electric Power Companies (FEPC), Tokyo, Japan
137. The European Association for the Promotion of Cogeneration (COGEN), Brussels, Belgium
138. The Solar Century, Oxford, United Kingdom
139. The Institute of Energy Economics (IEE), Tokyo, Japan*
140. The Institute for Global Environmental Strategies, Tokyo, Japan*
141. The Japan Environmental Education Forum, Tokyo, Japan*
142. The Forum of Local Government Representatives for Contemplation on the Environment and Industry, Kyoto, Japan*
143. The Aozora Foundation, Osaka, Japan*
144. The Japan Network for Earth Environment and Prevention Pollution, Tokyo, Japan*
145. The Japan Economic Research Institute (JERI), Tokyo, Japan*
146. The Pollution Related Health Damage Compensation and Prevention Association, Tokyo, Japan*
147. The Japan Scientist Association, Tokyo, Japan*

148. The Global Environmental Forum, Tokyo, Japan*
149. The Association of Consumer Affairs Professionals (ACAP), Tokyo, Japan*
150. The Local Grassroots Network of Citizens, Tokyo, Japan*
151. Union of Industrial and Employers' Confederations of Europe (UNICE), Brussels, Belgium
152. United Nations Environment & Development - UK Committee, London, United Kingdom
153. United Nations Student Association of Japan, Tokyo, Japan*
154. University of Kassel, Kassel, Germany
155. University of Surrey, Surrey, United Kingdom
156. University of Oslo, Oslo, Norway
157. Wild Bird Society of Japan, Tokyo, Japan*

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CONFERENCE OF THE PARTIES
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Item 2 (b) of the provisional agenda

ORGANIZATIONAL MATTERS

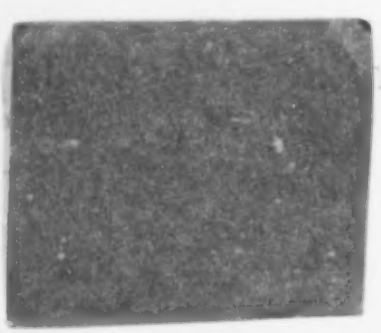
ADOPTION OF THE RULES OF PROCEDURE

Note by Mr. Chen Chimutengwende (Zimbabwe), President of the Conference of the Parties at its second session, on his informal consultations on the draft rules of procedure

I. INTRODUCTION

1. Article 7.2(k) of the Convention provides that the Conference of the Parties (COP) shall agree upon and adopt, by consensus, rules of procedure and financial rules for itself and for any subsidiary bodies.

2. Article 7.3 further provides that the COP shall, at its first session, adopt its own rules of procedure as well as those of the subsidiary bodies established by the Convention, which shall include decision-making procedures for matters not already covered by decision-making procedures stipulated in the Convention. Such procedures may include specified majorities for the adoption of particular decisions.



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3. It will be recalled that the Conference of the Parties, at its first session, was unable to adopt its rules of procedure and decided to apply the draft rules contained in document A/AC.237/L.22/Rev.2, as amended by document FCCC/CP/1995/2, with the exception of draft rule 42 (see FCCC/CP/1995/7, para.10). It was further decided that the President of the Conference of the Parties would conduct informal consultations on the draft rules of procedure with a view to advancing consensus and report to the Conference of the Parties at its second session on the outcome of the consultations. In her opening statement to the Conference of the Parties at its second session, the outgoing President reported that her consultations had not achieved the desired results and that the differences among the Parties remained unresolved.

4. The Conference of the Parties, at its second session, was again unable to adopt the draft rules and the President ruled that the draft rules of procedure should continue to be applied as at its first session (see FCCC/CP/1996/15, para.12). The President of the Conference expressed his intention to carry out further consultations during the intersessional period, with a view to enabling the Conference to adopt its rules of procedure at the outset of the third session.

5. The draft rules of procedure are contained in document FCCC/CP/1996/2. The main outstanding issue concerns the majorities required for the adoption of specific types of decisions on matters of substance (rule 42, paragraph 1). Views are widely divergent on this issue. Some disagreement also persists on the composition of the Bureau of the COP (rule 22, paragraph 1).

II. DRAFT RULE 42, PARAGRAPH 1
(majorities required for decisions on matters of substance)

6. The President held informal consultations on draft rule 42, paragraph 1, with some ministers during the high-level segment of the UNEP Governing Council in February 1997, Nairobi, Kenya. In view of the positive response from those ministers, he invited ministers attending the ministerial segment of the Commission on Sustainable Development to join him in further consultations. At a luncheon organized with the assistance of the Government of Japan at United Nations Headquarters on 10 April 1997, the ministers and the representatives present expressed their views on the majorities required for decisions on matters of substance. In addition to the views expressed on that occasion, some ministers communicated views and comments to the President in writing. The President also conducted additional consultations during the sessions of the subsidiary bodies held in July-August and October 1997. The following positions regarding voting majorities were discerned by the President as a result of these consultations:

(a) Consensus or general agreement on all matters of substance (including the adoption of a protocol);

(b) Three-fourths majority on all matters of substance (including the adoption of a protocol);

(c) Two-thirds majority on all matters of substance (including the adoption of a protocol);

(d) Double majority (Annex I and non-Annex I Parties) on all matters of substance (including the adoption of a protocol);

(e) Consensus on matters relating to the financial mechanism and at least a two-thirds majority on all other matters of substance (including the adoption of a protocol);

(f) Double three-fourths majority (Annex I and non-Annex I Parties) on matters relating to the financial mechanism;

(g) Seven-eighths on all mattters of substance (consensus required for a protocol); and

(h) Three-fourths majority on all matters of substance, including the adoption of a protocol, and a simple double majority on matters relating to the financial mechanism.

7. The following general conclusions were drawn by the President, as a basis for a possible agreement on procedures on taking decisions on matters of substance:

(a) Parties should aim at reaching consensus on all such matters;

(b) Consensus does not mean unanimity; and

(c) Wherever it is not possible to reach decisions by consensus, the Parties may resort to voting.

8. The President of COP 2 wishes to advance the following options on substantive decision-making for consideration by the Conference of the Parties.

(a) <u>Option 1: Three-fourths majority</u>

9. The first option for consideration is a three-fourths majority of Parties present and voting for all decisions on matters of substance, including the adoption of a protocol and decisions regarding the financial mechanism. This is the same voting majority as that established by Article 15 of the Convention for the adoption of amendments, if the Parties are unable to reach agreement by consensus.

Three-fourths majority, if all Parties are present and vote

No. of Parties	Three-fourths majority
171	128

Three-fourths majority, if two-thirds of the Parties are present and vote (rule 31 requires a quorum of two-thirds of the Parties for a decision to be taken):

No. of Parties	Two-thirds of Parties present at a meeting	Three-fourths of Parties present and voting
171	114	86

(b) Option 2: Seven-eighths majority

10. The second option is a seven-eighths majority of Parties present and voting for all decisions on matters of substance, including the adoption of a protocol and decisions regarding the financial mechanism. This large majority for substantive decisions should meet the concerns of all groups of Parties, including those that fear that their concerns may not be taken into account if voting majorities are not large enough.

Seven-eighths majority, if all Parties are present and vote:

No. of Parties present and voting	Seven-eighths majority
171	150

Seventh-eighths majority, if two-thirds of the Parties are present and vote (rule 31 requires a quorum of two-thirds of the Parties for a decision to be taken):

No. of Parties	Two-thirds of Parties present at a meeting	Seven-eighths of Parties present and voting
171	114	100

11. The President discerned a certain interest in this option and suggests the COP may wish to give further consideration to it.

III. DRAFT RULE 22, PARAGRAPH 1 (Composition of the Bureau of the COP)

12. This matter was considered in the informal consultations in the light of the request from a number of Parties that depend on the export of fossil fuels that an additional seat on the Bureau be reserved for Parties covered by Article 4.8(h). This would require a modification of rule 22 as presently drafted.

13 Several of the Parties involved in the informal consultations did not favour reopening discussions on draft rule 22. They were of the view that the Bureau should remain as presently constituted, and considered that concerns of special interest groups should be accommodated within the various regional groups. It was noted, however, that draft rule 22, paragraph 1, made explicit provision for the special interest group of the small island developing States.

IV. RECOMMENDATION

14 In order to ensure the smooth functioning of the third session of the Conference of the Parties, the President of the Conference of the Parties at its second session invites the Conference to adopt the draft decision contained in annex I to this report, which calls for the adoption of the rules of procedure annexed to the draft decision, with the exception of draft rule 22, paragraph 1, and draft rule 42, paragraph 1, on the understanding that draft rule 22, paragraph 1, shall continue to be applied.

15 The President of the Conference of the Parties at its third session may wish to undertake further consultations, with a view to resolving the remaining issues on the rules of procedure.

Annex I

Draft decision for adoption by the Conference of the Parties at its third session

Decision --/CP.3

The Conference of the Parties,

Recalling Article 7.2(k) and 7.3 of the Convention,

Recalling that the Conference of the Parties at its first session decided, on the proposal of the President, to apply the draft rules of procedure as amended, with the exception of draft rule 42 (FCCC/CP/1995/7, para. 10),

Recalling further that, at the second session of the Conference of the Parties, the President ruled that the draft rules of procedure should continue to be applied, with the exception of draft rule 42 (FCCC/CP/1996/15, para. 12),

Recognizing that it would assist the functioning of the Conference of the Parties to adopt those parts of the rules of procedure that have been applied at previous sessions,

1. *Adopts* the rules of procedure that are annexed to this decision, with the exception of rule 22, paragraph 1, and rule 42, paragraph 1, on the understanding that rule 22, paragraph 1, shall continue to be applied;

2. *Welcomes* the considerable efforts made by the successive Presidents of the Conference of the Parties to bring about finalization of the rules and invites the President of the Conference of the Parties at its third session to undertake consultations with a view to resolving the remaining issues.

Annex to the draft decision

United Nations Framework Convention on Climate Change

Draft Rules of Procedure of the Conference of the Parties and its Subsidiary Bodies

I SCOPE

Rule 1

These rules of procedure shall apply to any session of the Conference of the Parties to the Convention convened in accordance with Article 7 of the Convention.

II DEFINITIONS

Rule 2

For the purposes of these rules:

1 "Convention" means the United Nations Framework Convention on Climate Change adopted at New York on 9 May 1992 and opened for signature in Rio de Janeiro on 4 June 1992;

2 "Parties" means Parties to the Convention;

3 "Conference of the Parties" means the Conference of the Parties established by Article 7 of the Convention;

4 "Session" means any ordinary or extraordinary session of the Conference of the Parties convened in accordance with Article 7 of the Convention;

5 "Regional economic integration organization" means an organization defined in Article 1, paragraph 6 of the Convention;

6 "President" means the President of the Conference of the Parties elected in accordance with Rule 22, paragraph 1 of these rules;

7 "Secretariat" means the permanent secretariat designated by the Conference of the Parties in accordance with Article 8, paragraph 3 of the Convention.

8. "Subsidiary body" means those bodies established by Articles 9 and 10 of the Convention, as well as any body, including committees and working groups, established pursuant to Article 7(2)(i) of the Convention.

III PLACE OF SESSIONS

Rule 3

The sessions of the Conference of the Parties shall take place at the seat of the secretariat, unless the Conference of the Parties decides otherwise or other appropriate arrangements are made by the secretariat in consultation with the Parties.

IV DATES OF SESSIONS

Rule 4

1. Ordinary sessions of the Conference of the Parties shall be held once every year, unless the Conference of the Parties decides otherwise.

2. At each ordinary session, the Conference of the Parties shall decide on the date and duration of the next ordinary session. The Conference of the Parties should endeavour not to hold such a session at a time which would make the attendance of a significant number of delegations difficult.

3. Extraordinary sessions of the Conference of the Parties shall be held at such times as may be deemed necessary by the Conference of the Parties, or at the written request of any Party, provided that, within six months of the request being communicated to them, in a timely manner, by the secretariat, it is supported by at least one third of the Parties.

4. In the case of an extraordinary session held at the written request of a Party, it shall be held not more than ninety days after the date at which the request is supported by at least one third of the Parties in accordance with paragraph 3 of this rule.

Rule 5

The secretariat shall notify all Parties of the dates and venue of a session at least two months before the session is held.

V. OBSERVERS

Rule 6

1. The United Nations, its specialized agencies, any international entity or entities entrusted by the Conference of the Parties pursuant to Article 11 of the Convention with the operation of the financial mechanism, and the International Atomic Energy Agency, as well as any State member thereof or observers thereto not Party to the Convention, may be represented at sessions of the Conference of the Parties as observers.

2. Such observers may, upon invitation of the President, participate without the right to vote in the proceedings of any session, unless at least one third of the Parties present at the session object.

Rule 7

1. Any body or agency, whether national or international, governmental or non-governmental, which is qualified in matters covered by the Convention and which has informed the secretariat of its wish to be represented at a session of the Conference of the Parties as an observer may be so admitted unless at least one third of the Parties present at the session object.

2. Such observers may, upon invitation of the President, participate without the right to vote in the proceedings of any session in matters of direct concern to the body or agency they represent, unless at least one third of the Parties present at the session object.

Rule 8

The secretariat shall notify those entitled to be observers pursuant to Rules 6 and 7 above of the date and venue of any session scheduled by the Conference of the Parties so that they may be represented by observers.

VI. AGENDA

Rule 9

In agreement with the President, the secretariat shall draft the provisional agenda of each session.

Rule 10

The provisional agenda for each ordinary session shall include, as appropriate:

(a) Items arising from the articles of the Convention, including those specified in Article 7 therein;

(b) Items the inclusion of which has been decided at a previous session;

(c) Items referred to in Rule 16 of the present rules of procedure;

(d) Any item proposed by a Party and received by the secretariat before the provisional agenda is circulated;

(e) The proposed budget as well as all questions pertaining to the accounts and financial arrangements.

Rule 11

For each ordinary session, the provisional agenda, together with supporting documents, shall be distributed in the official languages by the secretariat to the Parties at least six weeks before the opening of the session.

Rule 12

The secretariat shall, in agreement with the President, include any item which is proposed by a Party and has been received by the secretariat after the provisional agenda has been produced, but before the opening of the session, in a supplementary provisional agenda.

Rule 13

The Conference of the Parties when adopting the agenda may decide to add, delete, defer or amend items. Only items which are considered by the Conference of the Parties to be urgent and important may be added to the agenda.

Rule 14

The provisional agenda for an extraordinary session shall consist only of those items proposed for consideration in the request for the holding of the extraordinary session. It shall be distributed to the Parties at the same time as the invitation to the extraordinary session.

Rule 15

The secretariat shall report to the Conference of the Parties on the administrative and budgetary implications of all substantive agenda items submitted to the session, before they are considered by it. Unless the Conference of the Parties decides otherwise, no such substantive agenda item shall be considered until at least forty-eight hours after the Conference of the Parties has received the report of the secretariat on the administrative and budgetary implications.

Rule 16

Any item of the agenda of an ordinary session, consideration of which has not been completed at the session, shall be included automatically in the agenda of the next ordinary session, unless otherwise decided by the Conference of the Parties.

VII. REPRESENTATION AND CREDENTIALS

Rule 17

Each Party participating in a session shall be represented by a delegation consisting of a head of delegation and such other accredited representatives, alternate representatives and advisers as it may require.

Rule 18

An alternate representative or an adviser may act as a representative upon designation by the head of delegation.

Rule 19

The credentials of representatives as well as the names of alternate representatives and advisers shall be submitted to the secretariat if possible not later than twenty-four hours after the opening of the session. Any later change in the composition of the delegation shall also be submitted to the secretariat. The credentials shall be issued either by the Head of State or Government or by the Minister of Foreign Affairs or, in the case of a regional economic integration organization, by the competent authority of that organization.

Rule 20

The Bureau of any session shall examine the credentials and submit its report to the Conference of the Parties.

Rule 21

Representatives shall be entitled to participate provisionally in the session, pending a decision by the Conference of the Parties to accept their credentials.

VIII. OFFICERS

Rule 22

1. At the commencement of the first meeting of each ordinary session, a President, seven Vice-Presidents, the Chairmen of the subsidiary bodies established by Articles 9 and 10 of the Convention, and a Rapporteur shall be elected from among the representatives of the Parties present at the session. They will serve as the Bureau of the session. Each of the five regional groups shall be represented by two Bureau members and one Bureau member shall represent the small island developing states. The offices of President and Rapporteur shall normally be subject to rotation among the five regional groups.

2. The officers referred to in paragraph 1 above, shall remain in office until their successors are elected at the next ordinary session and shall serve in that capacity at any intervening extraordinary sessions. No officer may serve on the Bureau for more than two consecutive terms of one year.

3. The President shall participate in the session in that capacity and shall not at the same time exercise the rights of a representative of a Party. The Party concerned shall designate another representative who shall be entitled to represent the Party in the session and to exercise the right to vote.

Rule 23

1. In addition to exercising the powers conferred upon the President elsewhere by these rules, the President shall declare the opening and closing of the session, preside at the meetings of the session, ensure the observance of these rules, accord the right to speak, put questions to the vote and announce decisions. The President shall rule on points of order and, subject to these rules, shall have complete control of the proceedings and over the maintenance of order thereat.

2. The President may propose to the Conference of the Parties the closure of the list of speakers, a limitation on the time to be allowed to speakers and on the number of times each representative may speak on a question, the adjournment or the closure of the debate and the suspension or the adjournment of a meeting.

Rule 24

The President, if temporarily absent from a meeting or any part thereof, shall designate a Vice-President to act as President. The President so designated shall not at the same time exercise the rights of a representative of a Party.

Rule 25

If an officer of the Bureau resigns or is otherwise unable to complete the assigned term of office or to perform the functions of that office, a representative of the same Party shall be named by the Party concerned to replace the said officer for the remainder of that officer's mandate.

Rule 26

At the first meeting of each ordinary session, the President of the previous ordinary session, or in the absence of the President, a Vice-President, shall preside until the meeting has elected a President for the session.

IX. SUBSIDIARY BODIES

Rule 27

1. These rules shall apply mutatis mutandis to the proceedings of the subsidiary bodies.

2. The Conference of the Parties may establish, in accordance with Article 7.2(i), such subsidiary bodies as are deemed necessary for the implementation of the Convention.

3. In the case of a subsidiary body that is not open-ended, a majority of the Parties designated by the Conference of the Parties to participate therein shall constitute a quorum.

4. The Conference of the Parties shall decide on the dates of the sessions of the subsidiary bodies, taking note of the desirability of holding such sessions in conjunction with the sessions of the Conference of the Parties.

5. Unless the Conference of the Parties decides otherwise, the Chairman of any subsidiary body other than those established by Articles 9 and 10 of the Convention, shall be elected by that subsidiary body from among the representatives of the Parties present at the session. The Chairmen, Vice-Chairmen and Rapporteurs of such subsidiary bodies shall be elected with due regard to the principle of equitable geographical representation and shall not serve for more than

7. Subject to Articles 9 and 10 of the Convention, the Conference of the Parties shall determine the matters to be considered by each subsidiary body and may authorize the President, upon the request of the Chairman of a subsidiary body, to adjust the allocation of work.

X. SECRETARIAT

Rule 28

1. The head of the secretariat of the Convention, or the representative of the head of the secretariat, shall act in that capacity in all sessions of the Conference of the Parties and of its subsidiary bodies.

2. The head of the secretariat of the Convention shall arrange for the provision of staff and services required by the Conference of the Parties and its subsidiary bodies, within available resources. The head of the secretariat of the Convention shall manage and direct such staff and services and provide appropriate support and advice to the presiding and other officers of the Conference of the Parties and of its subsidiary bodies.

Rule 29

In addition to the functions specified in Article 8 of the Convention, the secretariat shall in accordance with these rules:

(a) Arrange for interpretation at the session;

(b) Receive, translate, reproduce and distribute the documents of the session;

(c) Publish and distribute the official documents of the session;

(d) Make and arrange for keeping of sound recordings of the session;

(e) Arrange for the custody and preservation of the documents of the session; and

(f) Perform all other work that the Conference of the Parties may require.

XI CONDUCT OF BUSINESS

Rule 30[1]

1 Meetings of the Conference of the Parties shall be held in public, unless the Conference of the Parties decides otherwise.

2 Meetings of the subsidiary bodies shall be held in private unless the Conference of the Parties decides otherwise.

Rule 31

The President shall not declare a meeting of the Conference of the Parties open or permit the debate to proceed unless at least one third of the Parties to the Convention are present. The presence of two thirds of the Parties to the Convention shall be required for any decision to be taken.

Rule 32

1 No one may speak at a meeting of the Conference of the Parties without having previously obtained the permission of the President. Subject to Rules 33, 34, 35 and 38, the President shall call upon speakers in the order in which they signify their desire to speak. The secretariat shall maintain a list of speakers. The President may call a speaker to order if his remarks are not relevant to the subject under discussion.

2 The Conference of the Parties may, on a proposal from the President or from any Party, limit the time allowed to each speaker and the number of times each representative may speak on a question. Before a decision is taken, two representatives may speak in favour of and two against a proposal to set such limits. When the debate is limited and a speaker exceeds the allotted time, the President shall call the speaker to order without delay.

Rule 33

The Chairman or Rapporteur of a subsidiary body may be accorded precedence for the purpose of explaining the conclusions arrived at by that subsidiary body.

Rule 34

During the discussion of any matter, a representative may at any time raise a point of order which shall be decided immediately by the President in accordance with these rules. A representative may appeal against the ruling of the President. The appeal shall be put to the vote immediately and the ruling shall stand unless overruled by a majority of the Parties present and voting. A representative may not, in raising a point of order, speak on the substance of the matter under discussion.

Rule 35

Any motion calling for a decision on the competence of the Conference of the Parties to discuss any matter or to adopt a proposal or an amendment to a proposal submitted to it shall be put to the vote before the matter is discussed or a vote taken on the proposal or amendment in question.

Rule 36

Proposals and amendments to proposals shall normally be introduced in writing by the Parties and handed to the secretariat, which shall circulate copies to delegations. As a general rule, no proposal shall be discussed or put to the vote at any meeting unless copies of it have been circulated to delegations not later than the day preceding the meeting. The President may, however, permit the discussion and consideration of amendments to proposals or of procedural motions even though these amendments or motions have not been circulated or have been circulated only the same day.

Rule 37

The text of any proposed amendment, annex or protocol to the Convention and of any proposed amendment to an annex, shall be communicated to the Parties by the secretariat at least six months before the session at which it is proposed for adoption.

Rule 38

1. Subject to Rule 34, the following motions shall have precedence in the order indicated below over all other proposals or motions:

(a) To suspend the meeting;

(b) To adjourn the meeting;

2. Permission to speak on a motion falling within (a) to (d) above shall be granted only to the proposer and, in addition, to one speaker in favour of and two against the motion, after which it shall be put immediately to the vote.

Rule 39

A proposal or motion may be withdrawn by its proposer at any time before voting on it has begun, provided that the proposal or motion has not been amended. A proposal or motion withdrawn may be reintroduced by any other Party.

Rule 40

When a proposal has been adopted or rejected, it may not be reconsidered at the same session, unless the Conference of the Parties, by a two-thirds majority of the Parties present and voting, decides in favour of reconsideration. Permission to speak on a motion to reconsider shall be accorded only to the mover and one other supporter, after which it shall be put immediately to the vote.

XII. VOTING

Rule 41

1. Each Party shall have one vote, except as provided for in paragraph 2 of this rule.

2. Regional economic integration organizations, in matters within their competence, shall exercise their right to vote with a number of votes equal to the number of their member States that are Parties to the Convention. Such an organization shall not exercise its right to vote if any of its member States exercises its right, and vice versa.

Rule 42

[1. Alternative A

The Parties shall make every effort to reach agreement on all matters of substance by consensus. If all efforts to reach consensus have been exhausted and no agreement has been reached, the decision shall, as a last resort, be taken by a two-thirds majority vote of the Parties present and voting, except:

[(b) for a decision to adopt a proposed protocol, which shall be taken by [consensus] [a three-fourths majority of the Parties present and voting][.] [;]

[(c) for decisions under paragraph 3 of Article 4 and paragraphs 1, 3 or 4 of Article 11 of the Convention, which shall be taken by consensus.]

1. Alternative B

Decisions on matters of substance shall be taken by consensus, except that decisions on financial matters shall be taken by a two-thirds majority vote.]

2. Decisions of the Conference of the Parties on matters of procedure shall be taken by a majority vote of the Parties present and voting.

3. If the question arises as to whether a matter is one of a procedural or substantive nature, the President shall rule on the question. An appeal against this ruling shall be put to the vote immediately and the President's ruling shall stand unless overruled by a majority of the Parties present and voting.

4. If, on matters other than elections, a vote is equally divided, a second vote shall be taken. If this vote is also equally divided, the proposal shall be regarded as rejected.

5. For the purposes of this rule, the phrase "Parties present and voting" means Parties present at the meeting at which voting takes place and casting an affirmative or negative vote. Parties abstaining from voting shall be considered as not voting.

Rule 43

If two or more proposals relate to the same question, the Conference of the Parties, unless it decides otherwise, shall vote on the proposals in the order in which they have been submitted. The Conference of the Parties may, after each vote on a proposal, decide whether to vote on the next proposal.

Rule 44

Any representative may request that any part of a proposal or of an amendment to a proposal be voted on separately. The President shall allow the request unless a Party objects. If an objection is made to the request for division, the President shall permit two representatives to

Rule 45

If the request referred to in Rule 44 is allowed or adopted, those parts of a proposal or of an amendment to a proposal which are approved shall then be put to the vote as a whole. If all the operative parts of a proposal or amendment have been rejected, the proposal or amendment shall be considered to have been rejected as a whole.

Rule 46

A motion is considered to be an amendment to a proposal if it merely adds to, deletes from, or revises parts of that proposal. An amendment shall be voted on before the proposal to which it relates is put to the vote, and if the amendment is adopted, the amended proposal shall then be voted on.

Rule 47

If two or more amendments are moved to a proposal, the Conference of the Parties shall first vote on the amendment furthest removed in substance from the original proposal, then on the amendment next furthest removed therefrom, and so on, until all amendments have been put to the vote. The President shall determine the order of voting on the amendments under this rule.

Rule 48

Voting, except for elections, shall normally be by show of hands. A roll-call vote shall be taken if one is requested by any Party. It shall be taken in the English alphabetical order of the names of the Parties participating in the session, beginning with the Party whose name is drawn by lot by the President. However, if at any time a Party requests a secret ballot, that shall be the method of voting on the issue in question.

Rule 49

The vote of each Party participating in a roll-call vote shall be recorded in the relevant documents of the session.

Rule 50

After the President has announced the beginning of voting, no representative shall interrupt the voting except on a point of order in connection with the actual conduct of the

Rule 51

All elections shall be held by secret ballot, unless otherwise decided by the Conference of the Parties.

Rule 52

1. If, when one person or one delegation is to be elected, no candidate obtains in the first ballot a majority of the votes cast by the Parties present and voting, a second ballot restricted to the two candidates obtaining the largest number of votes shall be taken. If in the second ballot the votes are equally divided, the President shall decide between the candidates by drawing lots.

2. In the case of a tie in the first ballot among three or more candidates obtaining the largest number of votes, a second ballot shall be held. If a tie results among more than two candidates, the number shall be reduced to two by lot and the balloting, restricted to them, shall continue in accordance with the procedure set forth in paragraph 1 of this rule.

Rule 53

1. When two or more elective places are to be filled at one time under the same conditions, those candidates, not exceeding the number of such places, obtaining in the first ballot the largest number of votes and a majority of the votes cast by the Parties present and voting shall be deemed elected.

2. If the number of candidates obtaining such majority is less than the number of persons or delegations to be elected, there shall be additional ballots to fill the remaining places, the voting being restricted to the candidates obtaining the greatest number of votes in the previous ballot, to a number not more than twice the places remaining to be filled, provided that, after the third inconclusive ballot, votes may be cast for any eligible person or delegation.

3. If three such unrestricted ballots are inconclusive, the next three ballots shall be restricted to the candidates who obtained the greatest number of votes in the third of the unrestricted ballots, to a number not more than twice the places remaining to be filled, and the following three ballots thereafter shall be unrestricted, and so on until all the places have been filled.

XIII. LANGUAGES

Rule 54

Rule 55

1. Statements made in an official language shall be interpreted into the other official languages.

2. A representative of a Party may speak in a language other than an official language if the Party provides for interpretation into one such official language.

Rule 56

Official documents of the sessions shall be drawn up in one of the official languages and translated into the other official languages.

XIV. SOUND RECORDS OF THE SESSIONS OF THE CONFERENCE OF THE PARTIES

Rule 57

Sound records of the sessions of the Conference of the Parties, and whenever possible of the subsidiary bodies, shall be kept by the secretariat in accordance with the practice of the United Nations.

XV. AMENDMENTS TO RULES OF PROCEDURE

Rule 58

1. These rules of procedure may be amended by consensus by the Conference of the Parties.

2. Paragraph 1 of this rule shall likewise apply in case the Conference of the Parties deletes an existing rule of procedure or adopts a new rule of procedure.

XVI. OVERRIDING AUTHORITY OF THE CONVENTION

Rule 59

In the event of any conflict between [illegible]

UNITED NATIONS

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CONFERENCE OF THE PARTIES
Third session
Kyoto, 1 to 10 December
Agenda Item 2 (i)

CREDENTIALS OF THE REPRESENTATIVES OF PARTIES TO THE THIRD SESSION OF THE CONFERENCE OF THE PARTIES TO THE UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE

Report of the Bureau

I. Introduction

1. In accordance with rule 19 of the draft rules of procedure, as applied,"the credentials of representatives as well as the names of alternate representatives and advisers shall be submitted to the secretariat if possible not later than twenty-four hours after the opening of the session. Any later change in the composition of the delegation shall also be submitted to the secretariat. The credentials shall be issued either by the Head of State or Government or by the Minister of Foreign Affairs or, in the case of a regional economic integration organization, by the competent authority of that organization."

2. Furthermore, rule 20 of the draft rules of procedure, as applied, provides that "the Bureau of any session shall examine the credentials and submit its report to the Conference of the Parties."

3. The present report is submitted to the Conference of the Parties in the light of the foregoing.

II. Credentials of Parties to the third session

5. The Bureau had before it a memorandum dated 9 December 1997 from the Executive Secretary on the status of credentials of representatives participating in the Conference. The information in this memorandum is reflected below.

6. As noted in the memorandum of the Executive Secretary, formal credentials issued by the Head of State or Government or by the Minister for Foreign Affairs, as provided for in rule 19 of the draft rules of procedure as applied, had been received by the secretariat for the representatives of the following 145 Parties participating in the Conference: Albania, Algeria, Antigua and Barbuda, Argentina, Australia, Austria, Bahamas, Bahrain, Bangladesh, Barbados, Belgium, Belize, Benin, Bhutan, Botswana, Brazil, Bulgaria, Burkina Faso, Canada, Cape Verde, Central African Republic, Chile, China, Colombia, Cook Islands, Costa Rica, Côte d'Ivoire, Croatia, Cuba, Czech Republic, Democratic People's Republic of Korea, Democratic Republic of the Congo, Denmark, Dominica, Ecuador, Egypt, El Salvador, Eritrea, Estonia, Ethiopia, European Community, Fiji, Finland, France, Gambia, Georgia, Germany, Ghana, Greece, Grenada, Guatemala, Guinea-Bissau, Honduras, Hungary, Iceland, India, Indonesia, Iran (Islamic Republic of), Ireland, Israel, Italy, Jamaica, Japan, Jordan, Kenya, Kiribati, Kuwait, Lao People's Democratic Republic, Latvia, Lebanon, Lesotho, Liechtenstein, Lithuania, Luxembourg, Malawi, Malaysia, Maldives, Mali, Malta, Marshall Islands, Mauritius, Mexico, Micronesia (Federated States of), Monaco, Mongolia, Morocco, Mozambique, Myanmar, Nauru, Netherlands, New Zealand, Nicaragua, Niger, Nigeria, Niue, Norway, Pakistan, Panama, Papua New Guinea, Paraguay, Peru, Philippines, Poland, Portugal, Qatar, Republic of Korea, Republic of Moldova, Romania, the Russian Federation, Saint Kitts and Nevis, Saint Lucia, Samoa, Saudi Arabia, Senegal, Seychelles, Singapore, Slovakia, Slovenia, Solomon Islands, South Africa, Spain, Sudan, Swaziland, Sweden, Switzerland, Syrian Arab Republic, Thailand, Togo, Trinidad and Tobago, Tunisia, Turkmenistan, Tuvalu, Uganda, Ukraine, United Arab Emirates, United Kingdom of Great Britain and Northern Ireland, United Republic of Tanzania, Uruguay, Uzbekistan, Venezuela, Viet Nam, Yemen, Yugoslavia, Zambia and Zimbabwe.

7. As noted further in the memorandum, information concerning the appointment of representatives participating in the Conference had been communicated by means of facsimile in the form of letters or notes verbales from ministries, embassies, permanent missions to the United Nations or other Government offices or authorities, or through local United Nations offices, by the following 14 Parties participating in the Conference: Armenia, Azerbaijan, Bolivia, Cambodia, Cameroon, Chad, Comoros, Congo, Guinea, Kazakstan, Mauritania, Sri Lanka, United States of America, and Vanuatu.

8. The Bureau noted the ruling by the President that the request to the delegation of the Federal Republic of Yugoslavia to refrain from participating in the proceedings of the Conference

would be communicated to the secretariat as soon as possible. The Bureau accepted the proposal and agreed to submit the present report to the Conference. The Bureau further agreed to recommend to the Conference that it take note of this report.

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